

**Creating Custodians of Heritage: A Multiple Case Study  
Perspective of United Kingdom World Heritage Sites**

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## **Abstract**

Research within cultural heritage and World Heritage Site management demonstrates the importance of conservation and effective managerial approaches for the protection of historical assets. However, World Heritage Sites are often characterised by multiple ownership patterns and diverse stakeholder interests, rendering collective and amicable management challenging. Therefore, through combining stewardship and stakeholder theories this research aims to develop a ‘custodianship behaviour model’ for the management of World Heritage Sites. This model focuses on developing custodianship behaviours among representatives within WHS management approaches and wider stakeholders. To accomplish this, the methodology of this thesis is grounded in a multiple case study approach focusing on three World Heritage Sites: Edinburgh’s Old and New Towns, Derwent Valley Mills, and the Antonine Wall. Data collection techniques include semi-structured interviews, documentary analysis, and physical artefacts. The collected evidence was analysed through template analysis. This study found that environments which endorse collaboration, involvement, open communication, trust and participatory decision-making are starting points in developing custodianship behaviours among managers. The findings also indicate that through engagement strategies, particularly ones which embrace participatory and continual engagement, managers were able to foster custodianship behaviours among external stakeholders. Despite custodianship behaviours being apparent, there are challenges which act as impediments and include: irregular interactions between managers, working groups not functioning, conflicting agendas and controversial decision-making. This research also stresses the importance of two emerging themes which can constrain or support custodianship – resources and time. Fostering custodianship is also dependent on a dedicated team that are devoted to WHS management and are able to develop and maintain stakeholder relationships. Underlining the theoretical and contextual contribution, this study ends with the presentation of a custodianship behaviour model (see Figure 21). WHS managers can use this model to develop favourable behaviours among site managers and stakeholders. To conclude, this research suggests proposes a number of recommendations for managerial practise, as well as reflection on the study’s limitations and areas of future research.

## **Dedication**

*This thesis is dedicated to Claire and my parents; thank for you all your love and support throughout my PhD and my life.*

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At times, the PhD expedition can feel like a lonely journey. However, the network of people who have supported me along the way has made the trip both worthwhile and enjoyable. Therefore, I would like to express my appreciation to all the people that have contributed to the completion of my thesis.

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# ACADEMIC REGISTRY

## Research Thesis Submission



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## **Definition of Terms and Abbreviations**

AW	The Antonine Wall
CHM	Cultural Heritage Management
DVMWHS	The Derwent Valley Mills World Heritage Site
ECC	Edinburgh City Council
EWHT	Edinburgh World Heritage Trust
HS	Historic Scotland
OUV	Outstanding Universal Value
UK	United Kingdom
UNESCO	United Nations Educational, Scientific and Cultural Organisation
WHC	World Heritage Convention
WHL	World Heritage List
WHS	World Heritage Site

# 1 Introduction

Traditionally, the term 'heritage' has been used to describe a number of phenomena, for instance: military, natural, religious, artistic, cultural, and archaeological (Du Cros & Lee, 2007; Messenger & Smith, 2014). In its simplest form, it is the expression used to encompass remnants which have been inherited from the past and are protected in the present for the benefit of future generations. Nuryanti (1996, p. 249) describes heritage as being “associated with the word inheritance ... something transferred from one generation to another. Owing to its role as a carrier of historical values from the past, heritage is viewed as part of the cultural tradition of a society”. Despite this, what is considered as heritage is a contentious issue (Young, 2014). For example, Baxter (2012, p. 1) highlights that, “heritage has an ineffable quality, where an idea of ‘past-ness’ is understood. Heritage as such cannot be objectified – you cannot pick up a heritage in a shop or visit a physical heritage”. Instead, through exploring how heritage is established as an object within public institutions, Baxter (2012) highlights that ‘objectified heritage’ exists in the form of a variety of cultural resources – for example museums, literature, buildings and monuments. Antagonism is also embroiled in interpretation and reinterpretation, claim and counter claim, and negotiation (Harrison, 2004a; Tucker & Carnegie, 2014).

Heritage can include tangible and intangible assets (McKercher, Ho, & du Cros, 2005). Tangible heritage exists in many forms and include: national parks, landscapes, gardens, rivers, and fauna (natural); and archaeological remains, artefacts, museums, monuments, and purpose-built attractions (built). Conversely, intangible heritage represents the traditions and culture of communities and can include: philosophy, the arts, performance, religion, traditional rites and rituals, the remembrance and celebration of historical events, literature, and folklore (Timothy, 2011). Regardless of form, both are acknowledged to be inseparable (Messenger & Smith, 2014). As what is regarded as 'heritage' has moved away from exclusively tangible assets to encompass the intangible, the concept of 'cultural heritage' has become utilised within discussion (Simons, 2000; UNESCO, 2015a). According to Chiabai, Paskaleva, and Lombardi (2011, p. 36), cultural heritage can be defined as, “the legacy of physical artefacts and intangible attributes of a group or society that are inherited from past generations, maintained in the present and bestowed for the benefit of future generations”. Combined, both can form complementary value (Chiabai et al., 2011). While the tangible forms the

construct; the intangible criteria relates to the individuals thoughts, emotions, learnings, thus contributing to the overall visitor's experience (Cunnell & Prentice, 2000).

Today, 'heritage' is one of the most commercialised terms in society, with its significance increasing rapidly on the international stage (Edson, 2004; Evans, 2004). This growing interest is the result of differing factors, including: the increasing significance placed on conservation and preservation in an ever changing global community (Henderson, 2000), social shifts (Hewison, 1987), globalisation (Wai-Yin & Shu-Yun, 2004), and the rising mentality of reminiscence and nostalgia within society (Halewood & Hannam, 2001). As a result, heritage has been transformed into one of the world's most popular and important industries. For example, in the United Kingdom (UK) heritage-based tourism is worth £26.4million to the economy (Fund, 2014). The development of heritage into an industry has resulted in the acceptance that such assets require positive management approaches in place to assure that these resources are consumed and conserved in a sustainable manner. The necessity for effective administration of the industry saw the establishment of what was initially known as 'heritage management' (Millar, 1989), a term later developed to 'cultural heritage management' as what was recognised as heritage moved away from exclusively tangible assets to encompass the intangible (UNESCO, 2015a; Young, 2014).

The expanding acknowledgment to safeguarding heritage has resulted in an ever-increasing international awareness, most notably through the creation of World Heritage Sites (WHS). Stemming from World Heritage Convention (WHC) of UNESCO in 1972, a WHS is a property which is considered to be of exceptional and outstanding natural or cultural value to humanity. Examples include: Angkor in Cambodia, Australia's Great Barrier Reef, Tulum in Mexico, and the Elephant Caves in the Sea of Oman. The convention advocates collaboration among nations to protect global heritage and to ensure its conservation for future and current generations (UNESCO, 2015d), while collective responsibility is promoted through the notion that World Heritage is owned by humanity (UNESCO, 2014f). Through embracing World Heritage, UNESCO promotes the numerous benefits which countries can attain and includes: a catalyst for raising awareness for heritage protection, access to funds and investment, and stimulation of a tourist market. Through nomination of carefully selected sites, national governments have embraced this opportunity, and to date 191 nations have ratified the WHC, with 1031 properties being awarded WHS status (UNESCO, 2015e).

On a site gaining World Heritage status, it is then the responsibility of the receiving country to ensure its protection and management (UNESCO, 2014c). In the UK, World Heritage has no formal status in regards to organisational administration, while sites receive no added financial assistance. Instead, site management is typically reliant on the goodwill of various stakeholders coming together, regularly in an amorphous fashion (Millar, 2006). Most sites function with an overarching managerial group comprised of various interests; however, structure and participation differs between sites (PricewaterhouseCooper, 2007). Furthermore, for some sites, management is challenging due to their sheer size and multiple ownership patterns (Bell, 2013). For example: the bulk of the buildings within Edinburgh Old and New Towns WHS are in private ownership; around two-thirds of the vital properties within the Derwent Valley Mills WHS are in private ownership; and Hadrian's Wall, which covers 73 miles, is mostly privately owned. Therefore, outside these management groups are numerous stakeholders who have the ability to directly or indirectly influence the management and protection of a given site. These include: local communities, businesses, building owners and numerous other public and private entities. These wider interests are also important as they can supply or suppress resources such as money, time, commitment and even properties (Garrod, Fyall, Leask, & Reid, 2011).

It is due to these diverse stakeholder arrangements that the collective approach promoted by UNESCO is challenging. This is grounded in the differing agendas, roles and interests of stakeholders (Aas, Ladkin, & Fletcher, 2005). This often results in difficulties concerning decision-making, planning, inclusion, and the impact of WHS status (Harrison & Hitchcock, 2005). Such difficulties are known to result in conflict where commitment, communication and involvement are lost among particular groups within the WHS context (Millar, 2006; van der Aa, Groote, & Huigen, 2004). For example, dating back to 2008, there has been tensions between numerous groups in Edinburgh regarding the Caltongate development which would see budget hotels, office blocks, shops and 180 homes built on a gap site near Waverley Station – with immense tensions concerning its impact of the site's World Heritage status (Herald Scotland, 2014).

Within the CHM of World Heritage, research focuses on areas such as: funding, private ownership, stakeholder collaboration, public involvement, local community complexities, tourism and visitor management, and education and interpretation (Beeho

& Prentice, 1997; Haddad, Waheeb, & Fakhoury, 2009; Mathisen, 2012). Other avenues have also emerged such as motivations for gaining World Heritage status and the intricacies of the nomination process (Cochrane & Tapper, 2006; Harrison & Hitchcock, 2005). While there is differing avenues of research, there remains little theoretical focus on the process of creating behaviours among site stakeholders which lead to them becoming collectively and responsibly motivated to manage, preserve and protect heritage. The context of WHS management offers an opportunity to explore sites which have been inscribed with this international recognition yet require the engagement and cooperation of various stakeholders to ensure its conservation. Therefore, this research will explore, within the context WHS management, how such behaviours can be nurtured within a diverse network of stakeholders. The following section will commence this research by providing a critical overview of studies within cultural heritage management and World Heritage.

### **1.1 Cultural Heritage Management**

Conservation is a central theme within heritage (Howard, 2003; Rudd & Davis, 1998), however, its heightened recognition has resulted in it becoming an industry in its own right (Rampley, 2012). The heritage industry was formed out of the necessity for humanity to conserve its local, national and international relics in the face of an increasing globalised community who wish to engage with historical settings (Yankholmes & Akyeampong, 2010). Authors suggest that wherever heritage subsists, there will always be pressure to share it with domestic and international people (McKercher et al., 2005; Millar, 1989), and is now one of the fastest growing recreational industries. Despite the conservational ambitions, the industry has faced various challenges such as: pressure from the tourism industry, revenue problems, local community issues, stakeholder collaboration, and environmental impacts (McKercher et al., 2005; Weaver & Lawton, 2004). Therefore, the need to manage heritage is well documented, resulting in the birth of what is commonly known as cultural heritage management (UNESCO, 2015a).

Heritage management has attracted an abundance of research (Garrod & Fyall, 2000; Tchetchik, Fleischer, & Shoval, 2009), with studies focusing on the problematic relationship between the two terms - '(cultural) heritage' and 'management'. The need to manage the heritage industry witnessed the birth of what was originally known as 'heritage management' (Howard, 2003; Millar, 1989). However, as 'heritage' has moved

away from exclusively tangible assets to encompass the intangible, the concept of 'cultural heritage' has become utilised within discussion (Du Cros & Lee, 2007). Consequently, in what UNESCO (2015a) regard as a noteworthy effort "made to extend the conceptualization and description of the intangible heritage", the term heritage management has now been transformed to become 'cultural heritage management'.

Du Cros and Lee (2007, p. 1) define CHM as the term “most commonly used amongst heritage professionals who are responsible for the care of such assets as heritage places, sites, artefacts, cultural property, and other tangible heritage items in society”. Similarly, McKercher and Du Cros (2002, p. 43) describe it as the “systematic care taken to maintain the cultural values of cultural heritage assets for the enjoyment of present and future generations”. Fundamentally, the aim of CHM is to protect and conserve tangible and intangible heritage settings and practices which manifest copious meanings and functions. The principles which embody CHM are dictated by the numerous national and international conventions and charters which characterise this profession (Shackley, 2012). Examples include: the Venice Charter (1964), the UNESCO World Heritage Convention (1972), Florence Charter on Historic Gardens (1982), and Education and Training in the Conservation of Monuments, Ensembles and Sites (1993). These movements were, and are, aimed at establishing frameworks which dictates a coherent and robust philosophy which provides guidance for the successful preservation and management of the world’s heritage (Young, 2014).

Heritage management encompasses systems that exist as numerous levels (Boyd & Timothy, 2006). For example; through international conventions and procedures, nationally through laws and legislation, locally through planning regulations, through various dedicated organisations and societies, and also through local community engagement (Taylor, 2004). Therefore, management is usually grounded in a top-down manner, with regulations, ideologies and good practice cascading from the state; while the ideals and aspirations of heritage stakeholders (such as local communities and other organisations) influence decision makers (Emerick, 2014; Schofield, 2008). In today’s society, good practice is not solely prosed by the state, as advice is now planned and proposed by regional and local level interests – for example, pressure groups.

The heritage management debate also focuses on ‘values’ (Heritage Lottery Fund, 2013; Mydland & Grahn, 2012). Values are those characteristics considered by an individual,

group, community or society as significant and attractive (Carter and Bramley, 2002). Prior to the 1990's, values in heritage management predominantly focused on the historical importance of the resources (Robinson, Bourdeau & Gravari-Barbas, 2015). However, in recent decades this has changed. Today, heritage values are often defined as being intrinsic or extrinsic/instrumental. Intrinsic values are those that inherently subsist in a historical asset and do not necessitate reformation for the value to be attained (Brown, 2006; Clark & Maeer, 2008). Simply, it is the value of heritage itself. This value is typically linked to an individual's emotional, spiritual and intellectual experience of heritage (Walter, 2014). For example, society values heritage for numerous reasons: it is unique, old or attractive, it is a source of knowledge, it provides enjoyment, it positively influences the wider environment, and/or it encapsulates some form of individual or collective memory or offers inspiration (Khirfan, 2014).

Conversely, extrinsic or instrumental values are those that depend upon human assessment of the asset and typically involve some sort of alternation to the resource for its value to be attained. Therefore, extrinsic or instrumental values are subjective as they are assessed through individual, cultural or social perspectives (Chen and Chen, 2010). In recent decades, the extrinsic value of heritage has been grounded in its economic and social significance (Bedate, Herrero & Sanz, 2004). As numerous academic and industry studies argue (Heritage Lottery Fund, 2013; Kim, Wong & Cho, 2007), if effectively managed, heritage can result in numerous economic and social benefits. Economically, heritage can create employment opportunities, stimulate local, regional and national economies, and encourage tourism (Baxter, 2012; Kim et al., 2007). The social value of heritage is also manifest in its ability to enhance public inclusion, develop a shared sense of community, empower local peoples, foster intercultural communication, improve the quality of life, and encourage social cohesion (Pendlebury, Townshend & Gilroy, 2004). For example, the restoration of a public space may create a play area for children while simultaneously reducing incidents of anti-social behavior.

Heritage is also associated with institutional value (Hewison and Holden, 2011). This relates to the strategies that organisations, which are responsible for heritage protection and management, put in place to develop value for society or the public (Clark & Maeer, 2008). Such value is inherent in the trust and legitimacy created by these organisations and their actions (Forsyth, 2013). As heritage management commonly encompasses the guardianship of something on behalf of society, trust and legitimacy



are vital to this sector. Institutional value can also be associated with creating equity and fairness, faith in public institutions, value for money, and enhancing the public realm (Clark & Maeer, 2008). Therefore, institutional value can be fostered or damaged by how an organisation engages with society and the decisions it makes. For example, if an organisation, such as a public body, permits the development of a project which is deemed to have a detrimental impact on the historical nature of an area, this can create distrust and divergence within the public realm.

An understanding of the values that characterize heritage is implied to be an important part in fostering collective and amicable action between different people (Clark & Maeer, 2008). However, due to the myriad of interests that are usually involved in heritage, perception of what constitutes values, or important values, is complex (Hewison and Holden, 2011). At times, the values of different people or interests are unharmonious and sometimes lead to conflict. Therefore, heritage managers can seldom make managerial decisions in isolation (Caffyn & Jobbins, 2003; Laws & Le Pelley, 2000). As such, there has been an ever-increasing move towards incorporating multiple perspectives into the heritage decision-making process (Wall & Black, 2004). In this changing environment, negotiation and compromise, although difficult, has become imperative (Bell, 2013; Lask and Herold, 2004).

Traditionally, approaches to heritage management focused mainly on solving particular difficulties, with limited deliberation on the effect on the entirety of a site or its values (Schofield, 2008). A popular approach in tackling this has been a values-based approach to heritage management. Through involvement and discussion with various interests, this approach commences with evaluating the values and importance of the resource in question – and how these can be best protected. These cover areas such as: historical, economic, aesthetic, emotional, symbolic, and spiritual meaning. Focusing on shifting from the views of one stakeholder to considering the views of all stakeholders (Anderson, 1997; Pruzan, 1998), this aims to develop a shared vision for site management through activities such as: participatory management, voluntary agreements which encourage the commitment and adherence to self-regulation, active engagement with and by all stakeholders, clearness of purpose, local community involvement, and persistent observation and evaluation to help ensure that future decisions are transparent and fair (Elson, Heaney, & Reynolds, 1995).

CHM research centres on various issues such as protection, interpretation and education, economic stimulus, tourism, and visitor management (Choi, Ritchie, Papandrea, & Bennett, 2010; Hovinen, 1995). However, CHM is challenging due to the complex nature of such premises and the difficulties of the differing activities and relationships which encompasses it (Silberberg, 1995). Table 1 highlights some of the central themes, demonstrating its multifaceted nature. Each underscores the issues that must be deliberated in managing and conserving heritage.

Financial Role	Revenues needed for: restoration, marketing, visitor management, and educational provisions. However, declining government funds means sites must become financially independent. Strategies to ease this include: entrance fees, volunteer dependence, tourism, and strategic partnerships.	(Brantom, 2013; Garrod & Fyall, 2000; Kim, Wong, & Cho, 2007; Prideaux & Kininmont, 1999; Richins & Mayes, 2008)
Government	Managers are influenced by government agenda and legislation. Government approaches can help managers protect and conserve heritage. But some frameworks fail to embrace stakeholder concerns. Government agenda is said to have transformed the concept of heritage into an objectified state for specific uses.	(Apostolakis, 2003; Baxter, 2012; Goulding & Domic, 2009; Henderson, 2000; Mason, 2005; McDonald, 2000)
Education and Interpretation	Concerns presenting heritage in a way that promotes conservation and understanding while being digestible to the public. This is linked to visitor satisfaction and behavioural intentions. If implemented well it has the ability to limit some of the common problems faced by managers. Often facilitated through technology, tours, publications, school visits, and entertainment.	(Alexandros & Jaffry, 2005; McIntosh & Prentice, 1999; Park, 2010; Poria & Ashworth, 2009; Ramsey & Everitt, 2008)
Experiences and Motivations	Understanding motivations and experiences is vital and links to satisfaction, re-visit, and motivating responsible consumption. However, is difficult as visitors are not homogenous. Therefore, managers must understand visitors and then employ strategies which enhance engagement and satisfaction based on their differing mentalities.	(Biran, Poria, & Oren, 2011; Caton & Santos, 2007; De Rojas & Camarero, 2008; Espelt & Benito, 2006; Moscardo, 1996)
Stakeholder Engagement	Sites are characterised by many stakeholders. As such, engagement can enhance planning and development, cooperation and collaboration. However, problems surface when stakeholders are not immersed into decision-making, power is held by the few elites, and if they are overlooked. However, engagement is also difficult due to: identifying all possible groups, lack of interest, access, cost, and power dimensions.	(Caffyn & Jobbins, 2003; Clark, 2009; Jamal & Getz, 1995; Laws & Le Pelley, 2000; Ryan, 2002; Selin & Chavez, 1995)

Locals	Communities play a central role in heritage. They are heavily impacted by heritage development through planning and legislation and tourism. Therefore, they must be immersed into managerial processes to gain their support and involvement. However, they are often overlooked and suffer from uncontrolled and uninvolved planning/development. Locals can benefit from heritage through: employment, symbolic pride, and rejuvenates social and economic regions.	(Choi & Sirakaya, 2006; Jimura, 2011; Lee, Li, & Kim, 2007; Russo, Boniface, & Shoval, 2001; Selin & Chavez, 1995; Spencer & Nsiah, 2012)
Tourism	Heritage tourism has created benefits and problems for managers. Difficulties include: visitor management, environmental damage, overcrowding, seasonality, uncontrolled development. Benefits include: increased revenues, external funding, and economic and social opportunities. Managers need to employ strategies to control tourism such as: restricting numbers, partnership working, stakeholder collaboration, education and interpretation.	(Gu & Ryan, 2008; Reisinger & Steiner, 2006; Ruiz Ballesteros & Hernández Ramírez, 2007; Wang & Bramwell, 2011; Winter, 2004)

**Table 1: Themes within CHM research**

As Table 1 draws attention to, CHM research span various areas, stressing its popularity as an area of interest. Over the past few decades, the role of CHM has intensified, especially through the proliferation of sites which have gained international acclaim. The origins of this status can partly be traced to the introduction of WHSs. The context of World Heritage offers a distinctive context within heritage management and will be explored in the following section.

## **1.2 Origins and Development of World Heritage**

### **1.2.1 The origins of ‘World Heritage’**

Steaming from the 1920s, how to protect heritage has been debated (Leask, 2006). This has concentrated on how the world’s more affluent nations could help less fortunate countries protect their historical assets (Huang, Tsaur, & Yang, 2012; Leask, 2006). However, it wasn’t until 1959, when the decision was made to erect the Aswan High Dam in Egypt which would have flooded the valley containing the Abu Simbel temples, that serious considerations were raised regarding heritage (UNESCO, 2015d). This resulted in UNESCO establishing an international safeguard campaign, supported by donations amounting to \$80 million from fifty different countries, and led to temples being deconstructed and moved to safer ground. Continuing from this in the 1960s, the American government took an enthusiastic interest in conservation, arguing that serious efforts had to be implemented regarding heritage protection (Yang, Lin, & Han, 2010).

Consequently, a 'Trust for World Heritage' was requested following a White House Conference in 1965 (Williams, 2004). This 'trust' was to be responsible for distinguishing, categorising, and managing the world's most significant heritage sites (Leask, 2006). The 'Trust for World Heritage', coupled with the continuing mismanagement and damage to historical properties, led to UNESCO in 1972 enacting an international treaty called the 'Protection of the World Cultural and Natural Heritage'. The 1972 Convention concerning the Protection of the World Cultural and Natural Heritage, also known as the World Heritage Convention (WHC), is one of UNESCO's most effective instruments, and has been significant in identifying and determining the protection of the world's most significant heritage (UNESCO, 2015d).

Currently, 191 states have signed up and ratified the convention (UNESCO, 2014e). Through ratification, each member must adhere to the WHC, and accede to ascertain and nominate sites within their sovereignty inscription on to the World Heritage List (WHL) (Feilden & Jokilehto, 1993; Terrill, 2014). Administering the WHC is accomplished through the "Operational Guidelines for the Implementation of the World Heritage Convention" (UNESCO, 2014c), while the main decision-making authority is the World Heritage Committee (UNESCO, 2014g). From the sites nominated, it is the committee's responsibility to distinguish which properties are placed on the WHL (Drost, 1996; Yang & Lin, 2011). This list contains those sites which are considered to be of exceptional historical value, and is the first and still solitary organisation that is engaged with the cataloguing of heritage on a global scale (Ashworth & van der Aa, 2006). In signing the convention countries become committed to recognising, promoting, conserving and protecting natural and cultural heritage for future generations (UNESCO, 2014a). These places are known as 'World Heritage Sites' (WHS).

### **1.2.2 World Heritage Sites**

A WHS is a place that is listed by UNESCO due to its physical or cultural significance to mankind and can be defined into three categories: cultural, natural, and mixed (both cultural and natural) (UNESCO, 2015d). These places can be mountains, deserts, lakes, forests, villages and even entire cities (UNESCO, 2015c). Currently, there are 1031 WHS and examples include: the Galápagos Islands, the Great Wall of China, the Royal Palaces of Abomey, and the Tower of London (UNESCO, 2015e). Central to their historical significance, they are considered to be of Outstanding Universal Value

(OUV). OUV presumes that, universally, humanity shares the aspiration and responsibility to conserve and protect global heritage (UNESCO, 2014a; Von Droste, 2011). Consequently, the principles of the World Heritage mission are central their management and include:

- Encourage countries to sign the World Heritage Convention and to ensure the protection of their natural and cultural heritage.
- Encourage States Parties to the Convention to nominate sites within their national territory for inclusion on the World Heritage List.
- Encourage States Parties to establish management plans and set up reporting systems on the state of conservation of their World Heritage sites.
- Help States Parties safeguard World Heritage properties by providing technical assistance and professional training.
- Provide emergency assistance for World Heritage sites in immediate danger.
- Support States Parties' public awareness-building activities for World Heritage conservation.
- Encourage participation of the local population in the preservation of their cultural and natural heritage.
- Encourage international cooperation in the conservation of our world's cultural and natural heritage.

(UNESCO, 2015c)

Once inscribed on the list, all sites, with the support of its management and national/local government, must have enduring regulatory and legislative mechanisms in place to ensure that the OUV of the assets is not compromised.

### **1.2.3 General obligations of the member states**

Once a site gains World Heritage status it is then the responsibility of the receiving nation to take accountability for its management and protection (UNESCO, 2015c). While there is no legal framework which embodies the WHC and bestowed upon state members, the operational guidelines and the ideology of World Heritage are embraced by nations through acts of self-integrity. Indeed, how a WHS is managed and the composition of its administrative approach differs across nations. However, sites do require to have a management plan and robust legal framework as part of the nomination process (UNESCO, 2014i), and there is a strong site managerial structure in place (UNESCO, 2015d). Once inscribed, a WHS must be persevered, sustained and presented in compliance with these management plans. These plans cover areas such as: managing the site, current issues affecting the property, visions, aims and objectives, implementation of the plan, and planning and monitoring. Despite these regulations and expectations, the committee has no authority to force a member state to comply with

their principles. Instead, when a WHS is threatened by vulnerabilities, the committee considers placing it on the List of World Heritage in Danger (UNESCO, 2014h).

In accordance with the continual monitoring of WHS, member states must also submit periodic reports which are submitted to the World Heritage Committee (UNESCO, 2014d). The public can also play an important part in WHS monitoring by writing directly to the Committee with specific concerns (UNESCO, 2014d; Williams, 2004). While the member state is responsible for site management, the ideology of the WHC signifies a wider breadth of responsibility (Harrison, 2004a; UNESCO, 2014a). As Article 6 of the WHC states: "this Convention recognizes that such heritage constitutes a world heritage for whose protection it is the duty of the international community as a whole to co-operate" (UNESCO, 2014a). This collective responsibility stems from the notion of humanitarian ownership. As UNESCO (2014f) states, "What makes the concept of World Heritage exceptional is its universal application ... sites belong to all the peoples of the world, irrespective of the territory on which they are located". Therefore, along with state preservation, through collective support, "it is incumbent on the international community as a whole to participate in the protection of the cultural and natural heritage of outstanding universal value" (UNESCO, 2014a).

#### **1.2.4 Gaining World Heritage**

The growing competition between nations for the acquisition of WHS status is intense, with authors debating the reasons why states nominate sites for admission on to the WHL (Jimura, 2011; Winter, 2004). Indeed, UNESCO (2015b) promote the possible benefits of World Heritage status, such as: raising awareness among stakeholders, enhancing protection, increasing possible site investment, promoting tourism, and receiving financial assistance and expert advice from the World Heritage Committee. This resonates with reasons often cited in research (Evans, 2004; Shackley, 2012), and are summarised in more detail in Table 2.

<b>Benefit and Features</b>	<b>Reference</b>
<b>Enhanced Projection:</b> <ul style="list-style-type: none"> <li>• Signifies national commitment to heritage</li> <li>• Helps promote and stimulate a heightened environmental awareness the sites</li> <li>• Leads to an increased involvement from conservational bodies</li> <li>• Helps halt negative activities</li> <li>• Facilitator to public policy becoming more conservational</li> </ul>	(Ashworth & van der Aa, 2002; Hazen, 2009; Kim et al., 2007; Poria & Ashworth, 2009; Saidi, 2012; Timothy & Boyd, 2003; van der Aa et al., 2004)
<b>Administrative Assets:</b> <ul style="list-style-type: none"> <li>• Employees benefit from an augmented sense of responsibility and esteem</li> <li>• Volunteer support increases</li> <li>• Aid is derived from a heightened level of international cooperation</li> </ul>	(Aas et al., 2005; Harrison & Hitchcock, 2005; Peleggi, 1996; Poria, Reichel, & Cohen, 2011; Santos & Zabler, 2012; Williams, 2004)
<b>Funding:</b> <ul style="list-style-type: none"> <li>• The possibility of financial aid increases</li> <li>• Helps managers attain higher budgets</li> <li>• Attracts corporate subsidies</li> <li>• Aids in securing national funding</li> <li>• Opportunity to gain financial and technological aid from UNESCO</li> </ul>	(Evans, 2004; Hall & Piggin, 2002; Hazen, 2009; Kim et al., 2007; Li, Wu, & Cai, 2008; Wanhill, 2000; Williams, 2004)
<b>Economic Prize:</b> <ul style="list-style-type: none"> <li>• Stimulates the development of a tourism market</li> <li>• Helps rejuvenate economies</li> <li>• Supports jobs (both directly and indirectly)</li> <li>• Creates economic and social advantages for post-industrial communities</li> <li>• Stimulates public interest and investment in a particular area</li> </ul>	(Cochrane & Tapper, 2006; Jimura, 2011; Sinding-Larsen, 2012; Viu, Fernandez, & Caralt, 2008; Wanhill, 2000; Yang & Lin, 2011; Zou, Huang, & Ding, 2012)

**Table 2: Motivations for World Heritage nomination**

Consequently, it is contested that many reasons have changed from emotional to rational in nature (Weaver & Lawton, 2004); as nations are more economically stimulated, whereas in previous years motivations were due to honour and prestige. However, to argue that destinations only now peruse World Heritage status for economic and promotional benefits could be over zealous. For example, Thompson (2004) suggests that the attempts by the Kyrgyzstan government to obtain status have focused on sites which are important to the country's religion and people, rather than for the financial benefits.

Along with academic research, grey literature has been produced as a means of highlighting the potential benefits, and costs of gaining World Heritage status has been

plentiful. For example, published in 2009, the Rebanks report offered a detailed account of the possible social and economic benefits of World Heritage status – some of which are highlighted in Table 2. Others include: enhancing identity, improved services, and cultural glue (Rebanks Consulting Ltd and Trends Business Research Ltd, 2009). However, other reports highlight the potential pitfalls and challenges which are characteristic of a site gaining World Heritage status. For example, a report by PricewaterhouseCoopers in 2007, on behalf of the UK's Department for Culture Media and Sport, emphasised numerous challenges, such as: costs associated with management and site preservation such as coordination, marketing, visitor management, and events; the complexity of partnership working across multiply owned sites; funding difficulties; and the organising costs associated for different interests relating to partnership working, study and documentation creation and implementation, and designated responsibilities (with staff time often given in kind) (PricewaterhouseCooper, 2007). Such issues highlight the challenges associated with WHS management, something which academic has recognised and will be discussed in the following section.

### **1.3 Management of World Heritage**

Within research, WHS management have been the focus of much interest. The following sections will discuss these issues.

#### **1.3.1 Stakeholder issues at World Heritage Sites**

Stakeholder collaboration at WHSs has been a popular debate (Deacon & Smeets, 2013; Nicholas, Thapa, & Ko, 2009; Ween, 2012). Even when the term 'stakeholder' is not specifically used, research relating to the need to manage and involve differing interests is frequent. World Heritage is characterised by numerous stakeholders during the selection, nomination, designation, planning and management stages (Su & Wall, 2012). This includes: UNESCO, national, regional and local governments, heritage managers, local communities, public and private organisations, international and national institutes, and international and domestic tourists (Wall & Black, 2004). All have differing roles, remits, and are impacted by heritage in different, and often conflicting, ways (Landorf, 2009; Saidi, 2012). Inclusion of these groups is at the heart of World Heritage as Article 12 of the WHC states:

“States Parties to the Convention are encouraged to ensure the participation of a wide variety of stakeholders, including site managers, local and



regional governments, local communities, non-governmental organizations (NGOs) and other interested parties and partners in the identification, nomination and protection of World Heritage properties” (UNESCO, 2014c, p. 3)

The complexity of sites being characterised by numerous stakeholders is stressed by Bell (2013) who highlights how Hadrian’s Wall has over 700 different owners each with their own agendas and priorities, however, all are guardians of the same site necessitating collective action regardless of their conflicting interests. While management is dependent on collaboration (Lefevre, 2007), the diverse number of groups renders the task difficult (Harrison, 2004a, 2004b; Peleggi, 1996). For instance, exploring the Angkor WHS, Wager (1995) found conflicting stakeholder ideologies in regards to how it should be utilised, creating managerial difficulties. Additionally, Haddad et al. (2009) highlight that the archaeological site of Bethany is consumed by negativity due to the lack of cooperation, collaboration and involvement between managers, locals, the private sector, and government representatives.

While difficult, managers can employ strategies which embrace collaborative environments and enhance conservational mentalities. Firstly, creating a base for collaboration requires all prospective stakeholders being identified (González & Medina, 2003). Managers must also ensure an open dialogue with stakeholders (Aas et al., 2005; Landorf, 2009) and encourage involvement through representation in managerial decision-making (Evans, 2002; Hitchcock, 2002). For example, Xu and Dai (2012) highlight how the successful management of Xidi stems from the creation of a village committee made up of local, private and public stakeholders which supervises and implements heritage strategies. Exploring young residents Lenggong WHS, Jaafar, Noor, and Rasoolimanesh (2015) found that representation, education programmes and training workshops were vital in increasing local community awareness, support and belonging to the WHS environment. Arguing that such mechanisms are central in developing future responsible leaders, they stress that local authorities and the leading stakeholders responsible for site management have a responsibility to ensure such approaches are embraced (Jaafar et al., 2015).

Additionally, Chiabai et al. (2011) suggest that, despite being under-used, participatory processes using digital technology could be effective in promoting stakeholder collaboration and communication. Chiabai et al. (2011) suggest that an e-participation website which consisted of forums, blogs and focus groups could improve partnership

working and stakeholder engagement. Similarly, Lask and Herold (2004) recommend increasing stakeholders involvement in site management through a 'free-zone' – an area where concerns and information on World Heritage could be liberally exchanged - could be advantageous. They claim this allows for more democratic decision-making and planning, while permitting the exchange of ideas and how best to protect World Heritage.

Bell (2013) advocates that a 'pluralistic values-based' approach to site management can be effective, if stakeholders are able to work together towards a shared vision. Bell (2013) indicates that strategic documents, like the management plan, can offer a platform from which collaboration ensues. However, she stipulates criteria that has to be met if to work, including the plan being; devised in partnership, and allowing for, differing perspectives to be immersed within the strategy through negotiation and compromise, being open to change, and their being a clear structure to the partnerships so that understandings and agreements can be executed. Despite this, Bell (2013) recognises that due to differing organisational priorities and ideals, such decision-making may need external support in order to encourage and mediate partnership working.

Despite the need for stakeholder management, the task is challenging. While the identification of stakeholders is important, difficulty resides in bringing all the relevant parties together (Aas et al., 2005). This is due to recognising who the genuine stakeholders are, the power dimensions which reside between groups, the ability to take part, and the cost (Davis & Weiler, 1992). For instance, Aas et al. (2005) argue that heritage management at Luang Prabang suffered from a lack of responsibility among the private and public sectors to begin initial dialogue for the creation of a collaborative network, and that stakeholder workgroups did not include any local residents and comprised entirely of public officials.

Difficulties also still reside in gaining stakeholder participation and support, even if the opportunity for participation is present and undertaken. For example, community interests may avoid engagement if they lack understanding of how to communicate their views, a lack of confidence that their concerns will have an influence, and being already satisfied with the existing system in place (Aref, 2011; Tosun, 2006). Yuksel and Yuksel (2008) also highlight that 'clientelism' can deter stakeholder participation in

organisational planning. Defined as relationships of patronage which involve direct or indirect support for one's own people, clientelist actions of an organisation and their perceived reliability by stakeholders can influence their participation behaviours (Erdogan & Tosun, 2009). Therefore, the actions of organisations, such as local authorities, could negatively affect the support and participation of key stakeholders over time through specific actions which impact on their legitimacy and credibility in the eyes of the community. This could lead to a lack of participation from communities in formation and implementation of formal plans, and adherence to policies and regulations. Consequently, Yuksel and Yuksel (2008) highlight that administrative bodies should consider community perceptions of equity in decision-making and strategic planning, as well as the level of content within community services.

Furthermore, even when stakeholders are involved, success is not guaranteed (Hampton, 2005). For example, van der Aa et al. (2004) stresses that even when stakeholders perceive the benefits of heritage protection, if they do see any personal benefits they will often reject World Heritage listing. The issue of power is also a stumbling block for successful collaboration between heritage managers and other parties (Davis & Weiler, 1992; Hazen, 2009). Studies suggest that the power within the stakeholder relationship is often held by private, public or local elites, meaning that minorities' voices are often overlooked (Ryan, 2002; Tosun, 2000). For example, Harrison (2004b) highlights how the future of Levuka's (in Fiji) heritage was planned and discussed in a fashion which didn't take into account minority views. Instead issues were discussed on Fiji's mainland's by the few elite (government officials and overseas professionals) resulting in residents of Fiji's Levuka having little support for the nomination for WH status in their area.

Collectively, issues surrounding site stakeholders and their different roles and agendas signify one of the most intricate elements of WHS management. While many of the stakeholders have conflicting views, the need for a collective approach is significant for site management and protection.

### **1.3.2 Government**

Government and public bodies have great influence over WHS management. Due to its need for specialist protection (Apostolakis & Jaffry, 2005; Nuryanti, 1996), heritage is commonly protected through acts of legislation (Mason, 2005). Heritage managers are

influenced greatly by government agenda and programs which support or complicate their role (Gillespie, 2012; Hall, 2006). For example, Li and Lo (2004) argue that the heritage management relies on the opportunities and mechanisms put in place by national/local governments to ensure a robust decision and planning process which benefits all relevant stakeholders.

However, the absence of political will in regards to financial assistance and government priority is a growing problem (Fyall & Rakic, 2006; Gensheimer, 2014). For example, Haddad et al. (2009) argue that lack of government legislation and strategic planning at the Jesus baptism archaeological site of Bethany has left the site vulnerable to continual destruction. Furthermore, Yuksel, Bramwell, and Yuksel (1999) highlight how the political culture of the Denizli Province in southwestern Turkey meant that the planning authorities responsible for the protection of the Pamukkale WHS often overlook possibilities for collaboration and consensus with wider stakeholders. As a result, there needs to be an improved level of negotiation capabilities and involvement of key site figures. Despite this, when government intervention is apparent this can be advantageous (Gillespie, 2012; Smith, 2002). For example, Hampton (2005) discovered how local resident and small businesses' objection to a specific development at Borobudur in Java led to government intervention to protect local rights. Wager (1995) also stresses how, in the face of the pressures of tourism, the Cambodian government developed a system for National Protected Cultural Sites that aimed to protect the nations as national cultural sites and manage them within the national domain for scientific, educational and tourist purposes.

### **1.3.3 Locals**

Local community participation in World Heritage is essential, with UNESCO (2014c, p. 99) arguing that, "emphasis given to the place of local communities in the sustainable heritage management process". Therefore, studies have examined the local community perspective in WHS management (Conway, 2014; Taylor, 2004). Table 3 highlights the positive and negative implications for host communities within the WHS context.

<b>Positive</b>	
<b>Tourism:</b> <ul style="list-style-type: none"> <li>Locals benefit through: entrepreneurial activities, providing lodging, employment, improved social standards and lifting communities out of poverty</li> </ul>	(Frost, 2012; Shackley, 2004; Trau, 2012; Yankholmes & Akyeampong, 2010)
<b>Community pride:</b> <ul style="list-style-type: none"> <li>Enhances community spirit and pride; WHS as an honour in the eyes of local community. Creates a sense of collective identity amongst locals</li> </ul>	(Evans, 2004; Jimura, 2011; Li et al., 2008; Mathisen, 2012; Su & Wall, 2012)
<b>Negative</b>	
<b>Limited involvement:</b> <ul style="list-style-type: none"> <li>Heritage managers and public authorities have been slow in perceiving the benefits of community involvement</li> </ul>	(Evans, 2004; Harrison, 2004b; Nicholas et al., 2009; van der Aa et al., 2004)
<b>Influences lives:</b> <ul style="list-style-type: none"> <li>Local resources taken from community control. For example: displacement – cannot afford restoration costs and high rent/land prices</li> </ul>	(Davis & Weiler, 1992; Wall & Black, 2004; Xu & Dai, 2012)
<b>Limited pride:</b> <ul style="list-style-type: none"> <li>Locals outside the vicinity of the WHS are often overlooked and as a result feel ignored, leading to resentment; how much pride can really be gained through joining list inhabited by hundreds of sites?</li> </ul>	(Evans, 2004; Jimura, 2011; van der Aa et al., 2004)
<b>Tourism:</b> <ul style="list-style-type: none"> <li>Little local economic benefit; Development in the hands of the private and public powerful with top-down management being a problem; Undemocratic nature of decision-making processes</li> </ul>	(Aas et al., 2005; Hampton, 2005; Nuryanti, 1996; Su & Wall, 2012; Ying & Zhou, 2007)
<b>Locals vs. the wider views:</b> <ul style="list-style-type: none"> <li>Conflict between locals and those who regard such places as in being globally owned; Divergence between the values held by locals compared to that of international agencies; Limited exchange between guests and hosts resulting in local resentment</li> </ul>	(Evans, 2004; Orbasli, 2002; Wall & Black, 2004)

**Table 3: Positive and negative implications for host communities**

Local residents' perceptions in regards to World Heritage has also been debated (da Cruz Vareiro, Remoaldo, & Ribeiro, 2012; Jimura, 2011). For example, Jimura (2011) found that most local people at the Ogimachi WHS were unaware of what World Heritage actually means, and that more has to be done by managers to raise the familiarity and importance of the concept. Therefore, da Cruz Vareiro et al. (2012) argue that managers need to be aware of local residents perceptions towards managerial actions and that such views should be represented in planning and decision-making processes. Peleggi (1996) also suggests providing information to local stakeholders so

that they better understand World Heritage, its management and its possible consequences.

Studies offer advice to overcome the dilemmas highlighted in Table 3 (Ahadian, 2013; Li & Lo, 2004). For example, continued communication between managers and locals is imperative in community support (Hampton, 2005; Walters, 2004), while others argue that the perceptions of locals must be better understood. For instance, Nicholas et al. (2009) found that the more residents were attached to their community the more they are supportive they will be of the area as a WHS, and so locals should be better informed about the value of World Heritage. Furthermore, Garrod et al. (2011) found that strategies to engage communities focus more on pacifying them through informative participation rather than allowing them to have an actual impact on the consequences of the sites decision-making. To enhance stakeholder participation they suggest the creation of stakeholder working groups and training for managers.

Locals capacity to be involved in WHS issues must be enhanced so they feel empowered to participate (Miyakuni & Stoep, 2006; Oviedo & Puschkarsky, 2012). Studies suggest that creating environments where locals actively contribute to site administration could facilitate this (Hodges & Watson, 2000; Ying & Zhou, 2007). For example, research at Angkor WHS by Wager (1995) discovered that involving locals in management can nurture respect and thoughtfulness for site protection. This is essential as the mishandling of local views can result in fractured relations, ultimately affecting the site's integrity (Zou et al., 2012). Hampton (2005) also suggests that authorities should be more accommodating to local communities living within the WHS boundaries. He argues that this could be accomplished through offering financial aid to residents, business advice, and articulating plans which allow locals the opportunity to contribute.

#### **1.3.4 Private ownership**

Private ownership has been debated in relation to WHS management (Elsorady, 2011). The complexities of CHM is intensified by resource ownership, as managers often need to administer assets which they hold varied legitimacy over (Evans, 2002; Gillespie, 2009). For example, research by Davis and Weiler (1992) into the management of Kakadu National Park emphasises the complex issue of historical aboriginal ownership, giving rise to the potential conflict of multiple-use. This multiple-use takes the form of

tourism and conservation on one spectrum, while the aborigine population uses the land for hunting and more recently mining. This is supported research by Hampton (2005) which found that private ownership of the Borobudur Temple in Java (Indonesia) and its surrounding lands, led to public, private and local community conflict. Studies also suggest that the issue of ownership has resulted in specific stakeholders being forced into situations where they can no longer afford to live in their surroundings (Davis & Weiler, 1992; Xu & Dai, 2012). According to Xu and Dai (2012), building owners in the World Heritage village of Xidi are responsible for the restoration and maintenance costs of their historical properties. As a result, locals are placed in the situation where they cannot afford the upkeep of their properties, causing conflict between locals and governmental policies which undermines the integrity of the site.

### 1.3.5 World Heritage and tourism

The relationship between WHS and tourism is well-documented (Santos & Zobler, 2012; Smith, Carnegie, & Robertson, 2006). Drost (1996) contends that the philosophy underlying the WHC has repercussions for tourism as individuals are encouraged to visit sites in order to consolidate and be educated in national, local and international history. Most discussion on the relationship between WHS and tourism focuses on the positive and negatives of the relationship.

Tourism development has negative implications for WHS management, with difficult decisions regarding both the preservation and presentation apparent (Shackley, 2006). Studies stress the detrimental effects which are derived from the ‘heritage to all mankind’ label promoted by UNESCO (Su & Teo, 2008) – in other words, encouraging tourism. Table 4 summarises the negative impacts which research has identified.

Impact	Issues	Authors
Visitor Numbers	<ul style="list-style-type: none"> <li>• Most sites were not built with the intent of accommodating high visitor numbers and many have reached their carrying capacity before listing</li> <li>• Problems can include: stress on environment, disturbance to wildlife and locals, pollution, vandalism, and overcrowding</li> </ul>	(Davis & Weiler, 1992; Hardiman & Burgin, 2011; Jimura, 2011; Li et al., 2008; Popp, 2012)

Commodify	<ul style="list-style-type: none"> <li>Local customs made digestible for tourists; a global culture replacing the local one</li> <li>Heritage which is digestible will take precedence over local heritage</li> </ul>	(Ashworth & van der Aa, 2002; Su & Teo, 2008)
Environment	<ul style="list-style-type: none"> <li>Littering, overcrowding, pollution, and development issues relating to transport, accommodation and recreational activities</li> <li>Managers needing to implement strategies to withstand the impacts of visitor increases - no adequate staff for site management</li> </ul>	(Davis & Weiler, 1992; Erdogan & Tosun, 2009; Li et al., 2008; Shackley, 2004)
Financial	<ul style="list-style-type: none"> <li>Management and catering for visitors requires persistent revenues. Pressure for more financial independency due to dwindling government support. Resulted in sites suffering from decrease in service quality, decay of assets, and lack of interpretive material and publications.</li> </ul>	(Kim et al., 2007; Li et al., 2008)
Private Interests	<ul style="list-style-type: none"> <li>Tourism development rights given by the government to private organisations. Majority of the economic benefits pocked by private sector</li> <li>Power is held by the elites of some local communities</li> </ul>	(Bell, 2013; Zhang, Ding, & Bao, 2009; Zou et al., 2012)

**Table 4: Negative impacts of tourism at World Heritage Sites**

Despite the difficulties in Table 4, these can be reduced through various avenues. For example, monitoring and planning is imperative in order to control not only the impact of visitors, but uncontrolled development which threatens sites (Al-Kheder & Khrisat, 2007). For example, Haddad et al. (2009) argue that visitor management strategies can be used to control tourism numbers, accomplished through: strategic documentation, distributing tourists to specific areas, limited daily tour numbers, and the creation of educational material which educates the need for respectful consumption. Despite its difficulties, the World Heritage and tourism relationship does have its advantages (Meschik, 2012; Smith et al., 2006). Firstly, tourism can contribute to the successful preservation of WHS if effectively managed (Drost, 1996; McNamara & Prideaux, 2011). According to Willis (2009), tourism development has contributed to the successful conservation of Hadrian's Wall, with the site attracting a million visits per year and therefore supporting local and regional economies and raising the conservational profile of the area.

Studies also argue that visitor revenue is vital for managers, especially in a climate where government funding is diminishing (Prideaux & Kininmont, 1999; Yang et al., 2010). For example, Kim et al. (2007) highlight how the revenues gained through tourism at the Changdeok Palace has allowed for investment in site maintenance, visitor



interpretation, tours, and services for tourists. WHS are also regarded as pivotal in creating employment opportunities (Hampton, 2005). For example, the Borobudur temple, in Yogyakarta, Indonesia, receives a daily average of more than 5,000, providing direct daily employment in the informal sector for between 700 (in the low season) and 1000 people (in the high season) (Hampton, 2005).

It is also indicated that the term 'WHS', complemented by UNESCO and its WHS logo, have a positive brand equity (Boyd & Timothy, 2006; Hassan & Rahman, 2015). From this assumption, studies have examined the impact World Heritage designation has on visitor numbers (Huang et al., 2012; Li et al., 2008), with several arguing that visitor numbers increase (Divino & McAleer, 2010). Despite this, others suggest that status does not increase visitor numbers (Cellini, 2011; Hall & Piggin, 2003). For example, focusing on religious heritage sites in Israel, Poria et al. (2011) fail to show any strong evidence of the causal relationship between World Heritage status and visitation. Overall, Fyall and Rakic (2006, p. 165) argue that “the assumption that inscription on the WHL automatically results in increased visitation levels is, however, naïve and overly simplifies the nature of visitor trend at World Heritage Sites”.

### **1.3.6 Interpretation and education at WHS**

Education and interpretation are vital management tools at WHS (Hume, 2004). They are crucial in reinforcing the need for individuals to respect the environment and characteristics of the site (Marcotte & Bourdeau, 2012; Poria, Reichel, & Biran, 2006), and instrumental to influencing visitor behaviour and repeat visits (Shackley, 2012). For instance, Willis (2009) highlights how the Vindolanda Trust, one of a number of heritage organisations along Hadrian's Wall, uses various forms of educational approaches to educate visitors, including videos and audio presentations, and information and diagrams to help individuals understand its significance of the site. Furthermore, Beeho and Prentice (1997) emphasise how New Lanark use entertainment to complement their educational approaches. They highlight how this is created through exhibits of the old mills and engine houses, the restoration of an old steam engine, and a dark ride known as the 'Annie McLeod Experience'.

Despite these generic approaches, education should be tailored to the specific of the visitor requirements and preferences (Prentice, Guerin, & McGugan, 1998). For

example, Biran et al. (2011) recommend that Auschwitz managers should customise their educational and interpretive approaches based on the visitor. They suggest that interpretation should facilitate emotional and educational involvement if the visitor doesn't perceive the site as their personal heritage; while those who have personal sentiment with the site should be targeted with approaches that look to create a special attachment and a powerful emotional experience.

Research also suggests that WHS can become areas for understanding and bridging ethical differences through education (Maddern, 2004). As Maddern (2004, p. 312) states, "to retain credibility and legitimacy in an age of increasing mobility and spatial interconnectivity, World Heritage Sites must become spaces of intercultural dialogue, where ethnic animosities can be productively addressed". Studies even argue that through education programs aimed at administrative bodies, proper site management could be taught and, therefore, be a part of the designation process of WHS (Drost, 1996). For example, Drost (1996) suggests that internationally heritage managers should periodically gather to take part in educational workshops which would allow the sharing of ideas in ways to control the negative impacts of designation.

#### **1.4 Rationale for Research**

Over past century, heritage has gained increasing interest. Stemming from the early half of the twentieth century, the international community has positioned itself to take an active role in the protection of the world's tangible and intangible heritage. Through these various movements steps have been taken to not only safeguard heritage, but to create global community appreciation. Coupled with this, the development of a heritage industry has brought with it its own challenges. From the review of the CHM and WHS literature (Section 1.1 and Section 1.2), the main overarching features identified are conservation and the need for effective managerial approaches for the protection of historical assets. Effective management is needed to ensure that heritage is consumed and enjoyed in a way in which it is preserved for future generations. At the heart of World Heritage, and heritage in general, is the need for collective responsibility. This shared duty rests on the belief that World Heritage is communally owned by humanity. A UNESCO (2014b) states:

"Reflecting the natural and cultural wealth that belongs to all of humanity, World Heritage Sites and monument constitute crucial landmarks for our

world. They symbolise the consciousness of States and peoples of the significance of these places and reflect their attachment to collective ownership and to the transmission of this heritage to future generations”

This collective responsibility is central to the protection of heritage. However, this is challenging due to complex network of differing groups and individuals which characterise sites. As the CHM literature (Section 1.1), and in particular the management of World Heritage (Section 1.2) emphasises, challenges surrounding decision-making, involvement and the impacts of tourism has resulted in sites stakeholder networks being demanding and intricate. This disproportion results in conflict where communication, support and the protection are lost among central figures. Despite this, the literature suggests that congruous environments which place emphasis on collaboration and involvement should be created to fashion an atmosphere where mutual appreciation and joint decision-making is supported. Through this, a collective environment can be nurtured where managers and stakeholders can work together to better protect heritage through elements of trust, mutual benefits and cooperative relationships.

The critical analysis of the Management of World Heritage (Section 1.2) also highlighted considerable research interest on: the motives of gaining World Heritage status and its impacts (Section 1.2.4); public, private and local community involvement (Sections 1.3.1 and 1.3.3); tourism (Section 1.3.5); and education and interpretation (Section 1.3.6). What is apparent is that, despite the well-intentioned objectives of World Heritage, the complexities of the context are thoroughly recognised. Difficulties encompassing the detrimental impacts of tourism development, the problematic nature of implementation of the convention, site management and financial constraints demonstrate these predicaments.

The discussion on the intricacies of multiple stakeholders has received much of this focus. Research argues that the CHM of WHS is commonly characterised by differing groups and individuals each with conflicting aims and roles. This is hardly surprising as many sites are often distinguished by multiple proprietors, with the less powerful being overlooked and omitted from decision-making and planning. The main emphasis of these studies often remark on local communities bearing the brunt of this omission, with the spoils of World Heritage bypassing their reach. The intricacies concerned with managing a WHS, often characterised by stakeholder conflict, has resulted in numerous

authors suggesting strategies and mechanisms to better involve those whose lives are affected by World Heritage status. This includes: collaborative measures, open communication, empowerment, and being involved within the decision-making process. The necessity of these strategies are founded in the acknowledgment that for heritage to be consumed, utilised and managed sustainably there must be a unified conviction among those who have the ability to impact on it.

The majority of articles discussing stakeholders in relation to WHS are atheoretical and fails to embrace theoretical perspectives which provide a comprehensive investigation into the phenomena. Indeed, exploring the transformation of public heritage, Baxter (2012) highlights that, generally, there are limited studies which embrace management theory in the heritage context. However, in line with this research, there are those exceptions that do incorporate stakeholder theory. For example, this perspective was used by: Nicholas et al. (2009) to investigate the factors that influence local community residents' support for the Pitons Management Area as a WHS and their support for Sustainable Tourism Development; Aas et al. (2005) to explore the relationship between heritage managers, locals, tourism development; Chiabai et al. (2011) to explore sustainable cultural tourism management; and Garrod et al. (2011) to investigate the purposes and processes of local-resident engagement by three Scottish attractions. However, despite using stakeholder theory, they mainly focus on tourism management and development.

The literature review highlighted the need for protection of the WHS collaborative environments where different interests work collectively; a demonstrable element of stewardship theory. Similar to stakeholder theory, which expands the obligations of the organisation beyond the shareholders, stewardship theory assumes that managers will make decisions they believe to be in the best interest of the collective, are intrinsically motivated, trustworthy, and are highly committed and attached to the organisation as opposed to the self-interested manager presented by agency theory. The theory suggests that individuals can be nurtured to become stewards through various situational mechanisms and psychological underpinnings. WHSs are administered by distinctive arrangements, with their overarching management typically consisting of various groups, with differing interests and remits. These groups come together to create a management plan and an appropriate administrative approach for the protection of the site's OUV and sustainability. Therefore, the behaviours espoused by stewardship

theory appear appealing if they can be integrated in both the network of managers which congregate to administer a site, as well the sites wider owners and stakeholders. As studies emphasise, the successful management of a WHS relies on the collaboration of multiple stakeholders and should be pursued through mechanisms such as open dialogue, involvement and engagement structures, and empowerment – all of which are central to creating responsible managers according to stewardship theory. As such, an exploration through combining elements of stakeholder and stewardship theory, into the possibility of developing and nurturing custodianship behaviours among different WHS interests is merited. The following sections will provide a definition of custodianship, followed by the research purpose, aim and objectives.

#### **1.4.1 Definition of Custodianship**

As it is now clear that the term ‘custodianship’ is central to the thesis, it is worth reflecting on the origins, current meaning and relevance to heritage. The term custodian was first mentioned in 1781 in selected papers by the Twinning family who spoke of the “custodian of the galleries” (Twining, 1887, p. 58), then by Charles Dickens in 1836 who coined the phrase: “to act as a custodian of the person of the supposed lunatic” (Dickens, 1836, p. 205). Later, the expression custodianship was narrated in 1858 in *Sat. Rev.* VI. 550/1 who mentioned the “loaning the library table and increasing responsibility of Mr Miller’s custodianship”, then in 1883 *Times* 1 June 4 who spoke of “The public should contribute to ... a well-organized custodianship for such treasures” (The Oxford English Dictionary, 1989, p. 167). More recently, in the 1989 edition of the complete ‘Oxford English Dictionary’ a custodian, or custodianship, is defined as: “One who has the custody of a thing or person; guardian, keeper”, “A person entrusted with guarding or maintaining a property; a caretaker”, or “Someone who keeps and protects something of valuable for another person” (The Oxford English Dictionary, 1989, p. 167). Therefore, generally, the term refers to a person has the responsibility for or takes care of something, usually for another person(s) – for example, financial assets, a property, a museum, a culture, and artefacts or records.

Within academia, the term has also become popular within spheres of interests. For example: custodian banks or the custodianship of financial assets, or brand custodianship in marketing where managers are responsible for the protection of their organisations brand (Capon, Berthon, Hulbert, & Pitt, 2001; Dickinson, 2015). With the overarching focus on guardianship and protection, it is no surprise that the term

custodian, or custodianship, has been inherently linked to heritage and its management (Breglia, 2005) for example, a curator of a museum or gallery. In conventional approaches, the use of heritage and its management have been administered by customary laws and procedures that are imposed by traditional custodians – such as governmental, non-departmental public, and legislative bodies (Ireland & Schofield, 2014; UNESCO, 2006). Also, a private owner of a specific historic building or place can be regarded as a custodian of that asset (Historic Scotland, 2015).

Beyond conventional terms, it is suggested that custodianship exists beyond formalised rules and laws. Instead, custodianship is also inherent in the amassed forms of knowledge, practices and values which exist about the relationship between society and their environment that are produced, maintained and transferred through time (de Jesus Jopela, 2011). Therefore, unwritten practices and beliefs are often embraced by communities aimed at using, respecting and preserving a specific place, its values and its encompassing environment (Berkes, Colding, & Folke, 2000). Consequently, a custodian is argued to be more all-encompassing and can include those multiple individuals and interests whose actions have the ability to effect the continuous preservation of a site (Breglia, 2005; UNESCO, 2012) – for example community members, businesses and tourists. As UNESCO (2012, p. 11) emphasise, “Each generation is a user, a custodian and a potential enhancer of humanity’s common natural and cultural heritage and must therefore leave for future generations at least the same opportunities that it enjoyed”. This statement resonates with the collective ownership and protection of WHSs and how all peoples of the world should be responsible guardians of heritage. Therefore together, the custodianship of heritage requires the commitment of various interests and the embracement of behaviours and actions which serve both the site and the collective (Graber, Kuprecht, & Lai, 2012; UNESCO, 2014c).

#### **1.4.2 Research purpose, aim and objectives**

This initial, exploratory chapter has shown that there is little theoretical focus on the process of creating sustaining behaviours among site stakeholders which lead to them becoming responsible and collectively motivated to preserve and protect heritage in the long-term – in other words, becoming conscientious committed and trustworthy custodians of their sites. Therefore, this research will use stewardship and stakeholder theories to explore how such behaviours can be created. This will then be used to create

a framework from which such behaviours can be operationalised and sustained. The context of the management of WHS offers a distinctive opportunity to explore sites which have been inscribed with this international recognition yet require the engagement and cooperation of various owners to ensure its sustainability and successful conservation. With the notion of collective world proprietorship, coupled with the copious organisations and owners which characterise these sites, the context offers an appealing environment in which to explore the process of creating sustaining behaviours among site stakeholders.

#### **1.4.2.1 Aim and Objectives**

This study aims to develop a ‘custodianship behaviour model’ for the management of World Heritage Sites.

To address this aim, this study has four objectives:

- To evaluate the existing theoretical approaches to the management of World Heritage Sites.
- Identify themes which could establish custodianship behaviours in World Heritage Site management.
- Investigate current management practice and its effectiveness in nurturing custodianship behaviours among managers (Internal Structures).
- To identify engagement strategies in encouraging support and custodianship behaviours (External Engagement).

### **1.5 Structure of the Thesis**

The remainder of this thesis will be structured as follows:

**Chapter 2** presents a critical analysis of the literature on the theoretical perspectives that will be investigated in this research. Firstly, a critical examination of the themes and facets of stewardship theory are provided. This is followed by an analysis of the debates surrounding stakeholder theory. The chapter concludes by emphasising how both theories could be utilised to illuminate the aims and objectives of this research.

**Chapter 3** outlines the methodological approach to the proposed research. In doing so, this chapter covers a number of key areas and includes: philosophical positioning, case study research, data collection methods, data analysis, validity and reliability, and ethics. The chapter ends with a summary of the methodology.

**Chapter 4** presents the findings derived from data collection stages of the research. Through a process of within-case analysis, the chapter offers an in-depth investigation into each of the three case sites. Each case is segmented in specific themes which are used to inform the research's aim and objectives. This includes each site's overall complexity, internal managerial environment, external environment, and the main challenges faced by management. The cases are followed by a chapter conclusion.

**Chapter 5** critically discusses the findings presented in Chapter 4 through the process of cross-case analysis. This discussion is structured on the same themes identified previously from the literature review and used to inform Chapter 4. The themes are also explored and examined in relation to extant literature. The chapter ends with a summary of the key points.

**Chapter 6** concludes the thesis. This begins with a review of the study's aim and objectives, followed by an overview of the theoretical and contextual contribution. This includes the presentation of the custodianship behaviour model (see Figure 21). Reflection on the study's limitations are also given, as well as proposed implications for management practice. Finally, the chapter ends with an overall conclusion.



## **2 Literature Review**

### **2.1 Introduction**

This chapter will provide a critical analysis of the literature on the theoretical perspectives that will be explored in this study. The chapter will commence with a critical examination of stewardship theory, followed by analysis of perspectives on stakeholder theory. To conclude, the chapter will offer a summary of both theories and how they can be utilised to explore the aim and objectives of this study.

### **2.2 Stewardship Theory**

Stewardship theory has been the increasing focus of management research (Davis, Schoorman, & Donaldson, 1997). Originating within the field of corporate governance, stewardship emerged as a response to agency theory (Donaldson & Davis, 1991). Agency theory concerns “exchanges where one party, the principal (typically represented by the owner(s) of a business), delegates work to a second party, the agent (typically represented by a manager or some other employee of the business owned by the principal)” (Gilding, Warnken, Ardill, & Fredline, 2005, p. 410). Agency theory originates from the economics-based paradigm which perceives individuals as rational actors who seek to maximise their self-interest (Jensen & Meckling, 1976), and assumes that individuals will peruse activities which, regardless of the effects on the organisations owners, will serve their own self-interests (Eisenhardt, 1989a; Jensen & Meckling, 1976). Therefore, it endeavours to draw out contractual difficulties which result from agents behaving unscrupulously when their concerns deviate from those of the principle (Jensen & Meckling, 1976).

Central to agency theory is the assumption that, in the minds of the firm owners (principles), managers (agents) may act opportunistically (Cruz, Gómez-Mejia, & Becerra, 2010; Eisenhardt, 1989a). The theory’s main emphasis is on ways in which the self-serving behaviours of organisational agents - which are detrimental to that of the principals’ interests (the agency problem) - can be moderated (Dharwadkar, George, & Brandes, 2000). Therefore, often high cost control mechanisms are necessary to restrict agent opportunism (Lassar & Kerr, 1996; Shen, 2003). These mechanisms often come in the form of monitoring approaches or incentives which aim to align the interests of the agent with those of the owner(s) (Eisenhardt, 1989a).

However, Davis et al. (1997) suggest that because agency theory focuses on manager-principle interest divergence, additional theory is required to explain, if anything, what allows objectives to be aligned. This assumption originates from the view that a sole reliance on agency theory is adverse as it overlooks the complexities of organisational life and fails to look beyond economic reasoning (Nowak & McCabe, 2003). Consequently, stewardship theory was created to examine circumstances in which managers, as stewards, are stimulated not by individual goals, but to act in the best interests of their principles/owners through pro-social behaviours (Block, 1993; Cuevas-Rodríguez, Gomez-Mejia, & Wiseman, 2012). According to Davis et al. (1997, p. 24), stewardship theory:

“defines situations in which managers are not motivated by individual goals, but rather are stewards whose motives are aligned with the objectives of their principals ... Given a choice between self-serving behavior and pro-organizational behavior, a steward's behavior will not depart from the interests of his or her organization”.

This perspective is derived from theology and relies significantly on thinking from sociology and psychology. This includes notions of kindness, social contribution, loyalty, and self-actualisation. Stewardship theory presumes that there is no conflict of interest between owners and managers (Donaldson, 1990). As Davis et al. (1997, pp. 25-26) argue, “the underlying prescriptions of stewardship theory is that the behaviours of the manager are aligned with the interests of the principals”.

Grounded in the postulation that the firm has responsibilities to society and ethical duties, stewardship theory expands the obligations of the organisation beyond the shareholders (Caldwell, Karri, & Vollmar, 2006). Therefore, stewards will protect the prosperity of all stakeholders, not simply shareholders, by making decisions they believe to be in collective interest (Anderson, Melanson, & Maly, 2007). As such, the main way to content all stakeholders with conflicting interests is to maximise the longstanding value of the organisation (Tosi, Brownlee, Silva, & Katz, 2003). Therefore, the beneficiaries of stewardship behaviours can include owners and shareholders, the organisation, employees, and external stakeholders (Anderson et al., 2007). Grant (2007, p. 395) also suggests that the beneficiaries of stewardship actions are “people and groups of people whom employees believe their actions at work have the potential to positively affect”. Therefore, the aim is to unearth structures and approaches to governance which facilitates successful synchronisation between the

manager and owner (Segal & Lehrer, 2012). Known as contextual, these will be discussed in the following section.

### 2.2.1 Contextual factors for facilitating stewardship

Contextual factors are a focal point for theorists (Donaldson, 1990; Wasserman, 2006) as they have the ability to either facilitate or confine stewardship. Stewardship is a choice individuals reach based on each relationship they enter depending on their psychological motivations and their perceptions of the situation (Nowak & McCabe, 2003). Table 5 underlines the differences between the stewardship and agency perspectives.

	<b>Agency Theory</b>	<b>Stewardship Theory</b>
Model of Man Behaviour	Economic man, self-serving	Self-actualizing man, collective serving
<b>Psychological Mechanisms</b>		
Motivation	Lower order/economic needs (physiological, security, economic)	Higher order needs (growth, achievement, self-actualisation)
Social Comparison	Other managers	Principal
Identification	Low value commitment	High value commitment
Power	Institutional (legitimate)	Personal (expert, referent)
<b>Situational Mechanisms</b>		
Management Philosophy	Control oriented	Involvement oriented
Risk orientation	Control mechanisms	Trust
Time frame	Short term	Long term
Objective	Cost control	Performance enhancement
Cultural Differences	Individualism, high power distance	Collectivism, low power distance

**Table 5: Differences between agency and stewardship**

**Source: Adapted from Davis et al. (1997)**

Davis et al. (1997) also argue that the development in which individuals choose to become stewards is characterised by a three step process: (1) a judgement is made by both persons of the relationship; (2) the decision to employ a steward relationship is then dependent on the psychological characteristics and the cultural background of each individual; (3) the choice of a stewardship relationship will then be influenced by the expectations by each party about one another. The psychological, situational, and cultural characteristics proposed by Davis et al. (1997) in Table 5 can guide managers to behave less like self-interested agents and more like stewards. Each will be discussed in the following sections along with the literature relating to the stewardship perspective.

### **2.2.2 Psychological underpinnings**

Psychological factors represent the personal characteristics that could have an influence on an individual's behaviour (Fox & Hamilton, 1994; Tosi et al., 2003). Stewardship theory postulates the model of man "based on a steward whose behavior is ordered such that pro-organizational, collectivist behaviors have higher utility than individualistic, self-serving behaviors" (Davis et al., 1997, p. 24). Therefore, stewards gain more satisfaction from serving the group than from serving themselves (Lee & O'Neill, 2003). According to Hernandez (2012, p. 175), stewardship behaviours are produced by two psychological mechanisms:

- "Individuals personally value actions that benefit the long-term welfare of others and are guided in their behaviour by this "other-regarding" perspective ... and long-term orientation". In other words, in decision-making processes stewards consign an elevated utility on assisting others and maintaining group wealth, rather than on guaranteeing personal reward.
- An emotional sense of association with others motivates the individual to positively affect the group. Ultimately, the steward's emotional connection to the group results in actions which will benefit the long-term sustainability of the recipients.

Therefore, stewardship behaviours are influenced by a cognitive process that frames decisions in terms of: (1) stakeholder interests as a whole (an other-regarding perspective), and (2) long-term benefits (long-term orientation) (Hernandez, 2012).

Stewardship theory is derived from the classic Theory Y of organisational research (McGregor, 1960) which asserts that individuals are not passive, are intrinsically motivated, and have a high capacity for assuming responsibility (Eddleston, Kellermanns, & Sarathy, 2008). This approach was used as the roots to further exploratory work, such as Argyris (1973, p. 253) who challenged the economic interpretation of man and argued for a "more complex and humanistic model of man", and later by Maslow, Frager, and Fadiman (1970). These models indicate that individuals need to develop beyond their existing condition and extend to higher levels of achievement, and the traditional view expounded from Theory X which constrains people from reaching their full potential (Davis et al., 1997).

According to stewardship theory, management should look to structure work so that people can fulfil their goals by guiding their excretions towards organisational aims

(Davis et al., 1997; Donaldson & Davis, 1991). It proposes various ways to encourage pro-organisational behaviours (such as empowering managers and collectivist cultures), and so supports Theory Y's assumption about human nature and suggests that managers/employees will act in the firm's favour in this form of context (Eddleston et al., 2008; Tosi et al., 2003). The psychological mechanisms which inspire stewardship are outlined in the following sections.

#### **2.2.2.1 Intrinsic motivations**

A psychological trait of stewardship theory is that of higher-order or intrinsic motivations (Donaldson, 1990; Van den Berghe & Levrau, 2004). Intrinsic motivations include opportunities for growth, achievement, affiliation, and self-actualisation. As Tosi et al. (2003) argue, "stewards are intrinsically motivated to make decisions in the firm's interest because doing so might lead to opportunities for desired personal outcomes such as growth and achievement". Also, an individual is intrinsically motivated if they undertake a task for no evident reward except for the activity itself (Van Puyvelde, Caers, Du Bois, & Jegers, 2012). In order to enable the attainment of these psychological states, organisations should offer individuals avenues through which they have opportunity to fulfil such needs. This includes: jobs to increase skill variety, task identity, task significance, autonomy, feedback, and self-leadership (Davis et al., 1997; Frankforter, Berman, & Jones, 2000).

Furthermore, stewardship theory claims that heightened employee control can reduce their intrinsic motivations, elevating their inclination to act opportunistically (Bammens, Voordeckers, & Van Gils, 2011; Corbetta & Salvato, 2004). As Davis et al. (1997, p. 28) suggest, "this model of work motivation is consistent with the assumptions of stewardship theory that increasing the internal work motivation would lead to higher levels of performance as well as satisfaction with work". This is supported by Tosi et al. (2003) who found evidence which supports the assumption that managers as stewards act in the best interests of the organisations. Their study supports the notion that the opportunities which can arise from acting for the good of the organisations will allow the steward to realise personal outcomes such as achievement and growth.

Additionally, stewardship theory implies that individuals bring their personal morality based values into the organisation (Davis et al., 1997). Such values result in an individual's motivations to go beyond that of self-fulfilment and financial reward. For

example, Thorgren, Wincent, and Anokhin (2010) found that compensation packages (a form of extrinsic reward) have limited value under stewardship conditions. Additionally, Aguilera, Rupp, Williams, and Ganapathi (2007, p. 846) found a direct link between stewardship behaviours and a company's tendency to enact programs which wield effective social change. Aguilera et al. (2007) links this to the steward's moral motives, such as their interest in higher order needs, which have the ability to drive the quest for corporate social responsibility.

#### **2.2.2.2 Identification**

Managers who feel a passionate sense of attachment, or identification, to the organisation are more likely to act as a steward (Caldwell & Karri, 2005; Wasserman, 2006). Identification transpires when managers "define themselves in terms of their membership in a particular organization by accepting the organization's mission, vision, and objectives" (Davis et al., 1997, p. 29). As a result, the organisation becomes an annex of the steward's psychological structure. This not only means that stewards regard comments about the organisation as personal, but they seize recognition in times of success and feel exasperation during failure (Snape & Redman, 2003). When an individual's self-concept is intensely bound to the organisations identity, they obtain considerable non-financial benefits from affiliation (Meyer, Becker, & Van Dick, 2006). Therefore, identification with and success of the organisations purpose can initiate intrinsic fulfilment and present an important source of personal value for stewards (Zahra, Hayton, Neubaum, Dibrell, & Craig, 2008).

Additionally, Hernandez (2012) associates this with "implicit social contracts" or "psychological contacts" – a mutual obligation between two entities (manager/organisation) where they work towards a common objective without taking advantage of one another – that may not be formally transcribed but operates as a powerful element which determines organisational and managerial behaviour. Therefore, through a strong sense of identification, stewards place "the long-term best interests of a group ahead of personal goals that serve an individual's self-interests" (Hernandez, 2012, p. 172-173). Supporting this perspective on identification, studies link the concept to stewardship theory. Firstly, Riketta (2005) discovered reasonably high associations between organisational identification and the optimistic behaviours linked with stewardship theory. Furthermore, arguing that a CEO's psychological identification with their company will motivate them to act in the firm's best interest,

Boivie, Lange, McDonald, and Westphal (2011) discovered that a CEO's connection with the firm was inversely associated with numerous behaviours that are perceived to be self-serving. This included personal use of the organisations airplane, decoupling of pay and performance, and unrelated diversification. Organisational identification links closely with that of commitment (Caldwell, Truong, Linh, & Tuan, 2011).

#### **2.2.2.3 Commitment**

Committed workers influence organisational success (Cuevas-Rodríguez et al., 2012; Jafri, 2010). Despite the concepts lack of consensus, organisational commitment is the psychological connection between the employee and their organisation that makes it less probable the employee will voluntarily depart the organisation (Meyer & Allen, 1997; Packard, 2009). Devoid of commitment, individuals are likely to regard their employment as nothing more than an activity to generate financial reward, resulting in a lack of motivation to achieve more than what their specific role expects of them (Panaccio, Vandenberghe, & Ayed, 2014).

In developing stewardship theory, Davis et al. (1997) highlight the work of Mayer and Schoorman (1992) who characterised organisational commitment as being a multi-dimensional construct comprising of continuance and value commitment. Continuance commitment refers to the individual's desire to continue to be a member of the organisation. Conversely, value commitment refers to an employee's belief in, and acceptance of, the organisations ideals and purpose and a readiness to apply substantial determination on its behalf (Mayer & Schoorman, 1992). Therefore, a person who is high in value commitment is anticipated to engage in actions that will help the organisation fulfil its goals, regardless of whether or not they are an expected element of their role (Loi, Hang-Yue, & Foley, 2006). For example, Mayer and Schoorman (1992) found that individuals who were high in value commitment were more likely to display citizenship behaviours, be more satisfied with the organisation, and have a higher level of association with its value and objectives. According to Davis et al. (1997), value-commitment is coherent with stewardship theory as managers see their self-image and self-concept as bound to the success of the organisation.

While value commitment is used by Davis et al. (1997), employee commitment can take varying forms (Meyer, Stanley, Herscovitch, & Topolnytsky, 2002). Further research linking stewardship theory to organisational commitment is offered by Vallejo (2009)

within the context of family owned companies, instead using the Meyer and Allen (1991) three-component model of commitment: affective, continuance, and normative commitment (Morrow, 2011). Affective commitment refers to the employee's attachment to, identification with, and emotional connection to the organisation (Meyer & Allen, 1991). This form of commitment implicitly encapsulates features, such as affection and emotional attachment for the organisation which can be exposed through the degree to which an individual identifies with the company (Dawley, Stephens, & Stephens, 2005; Meyer & Allen, 1997), and is associated with organisational identification (Meyer et al., 2006). Therefore, individuals high in affective commitment have strong levels of conviction towards their organisation's mission and goals. As such, through affective commitment, individuals are inspired to function more supportively, accomplish assigned tasks, and are willing to change their capabilities to fulfil their company's objectives (Meyer & Allen, 1997).

Continuance commitment refers to an individual's devotion grounded in their perception of the costs related with departing from the organisation (Meyer & Allen, 1991). This develops when an individual identifies that they could lose investments if they leave the organisation, and/or observes that there are limited substitutes (Iverson & Buttigieg, 1999). Therefore, the greater the perceived cost of leaving the organisation the larger the apparent risk, and so the greater the intensity of the individual's involvement in the organisation as a way of reducing the danger of losing their employment (Dawley et al., 2005). Likewise, the lower the previewed cost of leaving the organisation, and so risk, means that employee involvement can be reduced (Meyer et al., 2002). Therefore, individuals with a strong sense of continuance commitment will stay with their organisation because they have to (Jaros, Jermier, Koehler, & Sincich, 1993).

Normative commitment refers to commitment based feelings of obligation to the organisation (Meyer & Allen, 1991), and so individuals stay with an organisation because they feel that they should (Iverson & Buttigieg, 1999). Vallejo (2009, p. 380) emphasises this mind-set "develops as a result of the internalization of norms through socialization, the receipt of benefits that induces a need to reciprocate, and/or acceptance of the terms of a psychological contract". As such, situations where organisations incur employee expenses such as training and development, can also lead to individuals feeling obligated to remain with the organisation, generating normative



commitment until the debt is perceived. Motives for an intense sense of normative commitment many incorporate: the recognition of organisational spending and expense for the employee, approval of the psychological contract between the employee and organisation, and a consequence of personal recompenses and benefits delivered by the employer (Meyer & Allen, 1991). Therefore, normative commitment implies a feeling of allegiance to an organisation and the assumed belief that loyalty is significant (Dawley et al., 2005).

Collectively, individuals who feel they want to stay working with the organisation (affective commitment) will be inclined to be more motivated than those who need to (continuance commitment) or are obligated (normative commitment) to continue (Meyer & Allen, 1991; Meyer & Allen, 1997). As such, affective commitment should be inspired by managers and owners. Through using these three forms, Vallejo (2009) found the affective commitment was of greater importance than normative and continuance in family firms, and to the development of stewardship behaviours. Vallejo (2009) highlights that the attachment and emotional connection of the owning family towards the organisation and family legacy, filtered into the feelings of their non-family employees through the latent values in the company's culture. However, he does highlight the importance of continuance commitment through the family owners offering development and empowerment. Therefore, the high-commitment management philosophy promoted by stewardship theory's proponents is essential in developing the affective forms of commitment necessary to develop organisational stewards (Davis et al., 1997).

#### **2.2.2.4 Personal power**

Stewardship theory suggests that individuals who use 'personal power' to influence others are more probable to become stewards. To illustrate this, Davis et al. (1997) contrast institutional power, which is defined by an individual's position in an organisation and relevant within agency theory, to the use of personal power which is regarded as an inherent component of the person and not influenced by position. Davis et al. (1997, p. 31) further highlight that "expert and referent power are characterized as personal power; referent power works through identification of one person with another person ... (and) ... although slower to develop, personal power can be sustained over longer periods of time". Ultimately, organisations in which personal forms of power are fostered or triumphed are those in which managers can feel confident in their

affiliations. This originates from the manager's self-assessment of their personal abilities, rather than in associations that are subject to company delegation (Fox & Hamilton, 1994; Tosi et al., 2003). In order to foster the psychological mechanisms which inspire stewardship behaviours theorists have suggested situational and structural underpinnings which could assist in this pursuit. These will be discussed in the following sections.

### **2.2.3 Situational underpinnings**

Situational factors signify an individual's perception of particular features of the organisation, and include management philosophy, culture, and power distance (Godos-Díez, Fernández-Gago, & Martínez-Campillo, 2011; Huse, 2005). According to stewardship theory, these situational factors influence individuals to become stewards (Davis et al., 1997; Wasserman, 2006). Therefore, the situation an individual finds themselves in has the ability to develop the psychological underpinnings which foster stewardship.

#### **2.2.3.1 Management philosophy**

Management philosophy influences whether or not a stewardship ensues in an organisation (Huse, 2005). As Lee and O'Neill (2003, p. 212) argue, "What works well to control or motivate an opportunistic manager may not work well to control or motivate a steward". Research suggests that individuals who are in an involvement-oriented situation are more likely to become stewards (Davis et al., 1997). Therefore, the beliefs consistent with stewardship theory suggest an approach to management based on what Walton (1980) describes as a "high-commitment management philosophy". Table 6 outlines elements which are associated with a high commitment approach to management (Davis et al., 1997)..

Fairness	An individual's assessment of fairness in their organisation can impact on their attitude, behaviour and performance – and so, organisational effectiveness. Employees will be more dedicated and identify with the organisation if they feel they are being treated justly. This refers to both the process and outcomes of organisational action. Therefore, organisational policies and decision-making processes should embody equality and fairness. Employees who feel they are treated unfairly will lead to dissatisfaction and erode performance and commitment.	(DeConinck, 2010; Meyer & Allen, 1997; Sholihin & Pike, 2009)
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Open Communication	This refers to how information within an organisation is exchanged, shared and comprehended. Can be used to unveil information to employees concerning company strategy, missions, goals and performance. Comments from employees should be encouraged in response to such information. Communication should be constant and open and can help build relationships, trust, commitment and identification. If communication is sporadic and not embraced it can lead to misinterpretation of organisational actions and goals, resulting in the loss of employee motivation and loyalty.	(Brunetto & Farr-Wharton, 2004; Davis et al., 1997; Wood & Albanese, 1995)
Involvement	Individuals should be empowered to contribute to their job through participation in decision-making processes. This can enhance the feeling that the individual is making a significant impact to their organisation, while their role is perceived to be more rewarding and meaningful. As such, individuals highly identify with their role and place meaning on their job, resulting in heightened content ensuring role accomplishment towards their organisation's success. Therefore, through a sense of belonging, the individual desires to work well.	(Davis et al., 1997; Diefendorff, Brown, Kamin, & Lord, 2002; Walton, 1980)
Trust	Trust is essential in developing motivated and committed individuals. Trust facilitates collective actions, nurtures harmony, and can direct individuals behaviours when they have to make choices on behalf of the organisation. Generating trust is dependent on a number of factors and includes: experience of past incidents, possible future events, if the organisation and fellow employees/managers fulfil their obligations, levels of organisational support, distributive justice, and levels of responsibility, involvement and opportunities bestowed on employees. Trust can also be constructed through manager support. If individuals are supported by the organisation in a way which demonstrates they are concerned for their welfare, they are more likely to trust and be committed to it.	(Dirks & Ferrin, 2001; Macky & Boxall, 2007; McAllister, 1995; Rousseau, Sitkin, Burt, & Camerer, 1998; Shen, 2003; Van den Berghe & Levrau, 2004)
Training & Development	This focuses on empowering and improving the skills and performance of the workforce. Offering such opportunities can highlight the importance the organisation places on its employees, stimulating devotion to it. Also, employee development is a long-term practice which can aid in individuals attaining their potential – and therefore, links to the notion of intrinsic motivations. Companies which offer the opportunity for individuals to train and develop can lead to a positive psychological attachment to the organisation – inspiring affective commitment.	(Hislop, 2003; Kinnie, Hutchinson, & Purcell, 2000; McElroy, 2001; Meyer & Allen, 1997)

Team-working	High commitment management emphasises the use of self-managing teams, responsible for not only problem solving, but to implement and take responsibility for the outcomes. Also used as a form of peer control, this allows employees to accept liability and responsibility for group led tasks and organisational performance. Working in teams is highlighted to not only develop interpersonal relationships between individuals, but can help people understand how their decision can affect fellow employees and the organisation. Furthermore, giving teams heightened responsibility signifies levels of trust and empowerment of the individual(s), possibly resulting in heightened allegiance to the organisation.	(Davis et al., 1997; Druskat & Wheeler, 2003; Kirkman & Shapiro, 2001; Wageman, 2001)
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**Table 6: Elements of a high-commitment management philosophy**

As Table 6 demonstrates, such approaches centre on influencing employee attitudes and behaviours by developing psychological connections between organisational and individual goals to enhance commitment, effectiveness and efficiency (Arthur, 1994; Whitener, 2001). This tactic is based on creating highly collective environments, involving and empowering individuals, open communication, and the fostering of trust (Shen, 2003). These are essential in developing the psychosocial underpinnings which are typical of a steward manager (Davis et al., 1997; Walters, Le, & Kroll, 2015).

Studies have supported the embracement of these approaches as a means of developing stewards. Research also argues organisations where top managers can be judged to be stewards develop and execute more socially responsible and ethical practices than those administered by agents (Aguilera et al., 2007). For instance, Godos-Díez et al. (2011) highlight that this is a result of the higher levels of discretion possessed by managers in the stewardship model, allowing them more responsibility and ease to perform ethical action. Additionally, Walters et al. (2015) found that organisations that promote empowerment and create trust are more likely to generate stewardship relationships among managers. Walters et al. (2015) also discovered that organisations that complement their empowering mechanisms through reducing information asymmetry are more prone to developing stewards.

Along with trust is the assumption that there are higher levels of risk within the stewardship approach. Unlike control-oriented approaches, the involvement-orientated approach deals with risk through additional training and empowerment to ensure that employees are given more responsibility and motivation through job redesigning (Davis et al., 1997). Specifically, this will be dependent on the extent to which control

mechanisms have been implemented (Davis et al., 1997). As Huse (2005, p. S71) states: “while agency theory builds on the assumption of managerial opportunism, which leads to the needs for boards being active in controlling and monitoring, stewardship theory assumes that managers in general should be considered as good stewards”.

Furthermore, Jaskiewicz and Klein (2007) found that formal monitoring systems can negatively prevent the development of the informal governance settings and a collective culture which can stimulate stewardship behaviours. Therefore, social control mechanisms based on shared values, goals, and attitudes are more appropriate for developing stewards (Hernandez, 2008; Jaskiewicz & Klein, 2007). As such, stewardship theory is more pertinent in environments where trust, commitment and intrinsic motivations are nurtured though a lack of control mechanisms (Donaldson & Davis, 1991; Hernandez, 2008). For example, Hernandez (2012) suggests that control systems that aim to encourage stewardship behaviours should aim to cultivate individuals’ cognitive capabilities and shared sense of responsibility to consider multiple stakeholder perspectives in decision-making.

#### **2.2.3.2 Culture**

In describing the situational underpinnings of stewardship theory, Davis et al. (1997) argue that national culture is an important determinant of steward behaviour. They emphasise this on two differing measures: individualism/collectivism and power distance (Lee & O'Neill, 2003). Culture influences whether or not stewardship relationships can be realised (Segal & Lehrer, 2012). Davis et al. (1997), using Hofstede (1980, 1993) pioneering work on cultural differences, argue that stewardship theory assumes that people in a collectivist cultures have a higher probability of developing a principal-steward relationship than those in an individualistic culture where personal agendas take president over group goals.

Collectivist cultures are characterised through success being expressed in terms of the ‘group’, confrontation being evaded through promoting group accord, the ‘self’ becoming characterised as part of the collective, long-term relationships being favoured, and trust being fundamental. Such assumptions are supported by Lee and O'Neill (2003) who compared the relationship between ownership structure, R and D investments, and goal alignment in the US and Japan. They observe that Japanese culture creates conditions that favour steward-like relations more than agency relations. In the

stewardship settings, increasing ownership concentration does not affect the level of R and D investment since agents do not need explicit incentives to peruse what they perceive as the common good (Lee & O'Neill, 2003).

Within the cultural debate, 'power distance' is also used to identify situations where principal-steward relationships are likely to develop. According to Hofstede (1991, p. 28) power distance refers to "the extent to which less powerful members of institutions and organizations within a country expect and accept that power is distributed unequally". Stewardship theory suggests that low power distance cultures are more likely to develop stewardship relationships (Lee & O'Neill, 2003). In such cultures some characteristics include the reduction on inequalities among people, less influential actors being appreciated and encouraged, and social status and representations being given less prominence. According to Davis et al. (1997, p. 36):

"Low power distance cultures are more conducive to the development of stewardship relationships, because their members place greater value on the essential equality of the principal and the manager. This orientation encourages the development of relationships between principals and managers that are an essential part of stewardship theory".

This is in great contrast to high power distance cultures, which is associated with simulating agency relationships, and is characterised by: less influential people being dependent on the powerful, a focus on social status, centralised organisations, and inequalities between the benefits between those organisational actors between the top and bottom.

Despite the above, these assumptions have not gone uncontested. Davis et al. (1997, p. 36) highlight how "the individualism-collectivism and power distance dimensions are not perfectly correlated, there appears to be a pattern of relationships that make the predictions regarding the cultural antecedents of stewardship theory somewhat complicated". For instance, Japan is assumed to be characterised by a collectivist culture with a high power distance (Hofstede, 1980). Therefore, being a collectivist culture it would be assumed that members would seek to create organisational structures which would enable stewardship relationships. However, due to their high power distance stewardship elements such as trust and collective relationships would be difficult to articulate (Davis et al., 1997; Hernandez, 2012).

#### **2.2.4 Structural situation**

Linked closely with management philosophy, the performance of a steward will be influenced by whether the structural situation they find themselves in facilitates effective action (Sundaramurthy & Lewis, 2003). As Hernandez (2012, p. 222) states:

“Stewardship is not created through formal rules but rather is facilitated through organizational structures that help leaders to generate interpersonal and institutional trust, clarity regarding organizational strategy, and intrinsic motivation in followers, which, in turn, encourages followers to act with moral courage in service to the organization or cause”.

Organisational structures which promote empowerment are essential. According to Davis et al. (1997, p. 26), “A steward's autonomy should be deliberately extended to maximize the benefits of a steward, because he or she can be trusted”. Therefore, because the steward is trustworthy, structural approaches linked to monitoring and incentives are made redundant (Boyd, Haynes, & Zona, 2011; Fox & Hamilton, 1994). Previous research has supported this notion (Donaldson & Davis, 1994; Fox & Hamilton, 1994). For example, contrasting agency and stewardship, Donaldson and Davis (1991) found little evidence to support agency theory, however their results found some support for stewardship. They propose that empowering structures rendered higher levels of trust among directors and that shareholder returns were more positive, confirming verification of the value of a stewardship approach within management. Cuevas-Rodríguez et al. (2012) maintain this, suggesting that stewardship results in higher levels of organisational commitment and trust.

Coles, McWilliams, and Sen (2001) also argue that an effective avenue to assess the stewardship of top management would be to determine the duration of their current tenure. The rationality behind this argument is that managers, supported by enabling structures, who are exceptional stewards, will preserve their managerial position longer than those who have not been good stewards. Despite this, Miller (1991) discards this assumption, instead maintaining that the longer the duration of the top management team the more likely it is to become out of date and redundant. Therefore, the board's primary role, within the stewardship relationship, is to support the manager, or CEO, in decision-making, as well as to offer encouragement and advice (Boyd et al., 2011). Presenting a director primacy model, Lan and Heracleous (2010, p. 295) suggest that:

“The role of the board is not to be a monitor but, rather, a mediating

hierarchy – someone who balances the often competing claims and interests of the groups that contribute to the team production process, make decisions on the allocation of team surpluses, and is legally ultimately in control of the company’s assets and key strategic decisions”.

This is supported by Walters, Kroll, and Wright (2010) who argue that the relationship between the board and manager is essential to organisational success, suggesting that greater interstation and closer ties between two will improve firm performance.

#### **2.2.4.1 Boards**

Within stewardship, perspectives on organisational boards’ structure and behaviour have been popular. Firstly, the theory implies that the board’s main function is to support and advise management (Jaskiewicz & Klein, 2007). Additionally, a restricted board size may produce more robust personal relationships and loyalty among members. This can lead to an environment where people are less dependent on one another compared with larger boards (Davis et al., 1997). Donaldson and Davis (1991) suggest that this will allow board members to be empowered to take to take autonomous actions and nurture stewardship behaviour.

Stewardship theory suggests that boards which have higher insider representation will be more stimulated and offer greater success (Davis et al., 1997). This is based on the assumption that insiders are better informed than outside directors (Ramdani & Witteloostuijn, 2010), as they are more prone to pro-organisational and collective actions. For example, investigating board characteristics in Australia, Kiel and Nicholson (2003) found a positive relationship between insider representation and market success. Therefore, the decisions made by insider boards are more likely to be accepted and supported (Donaldson & Davis, 1991, 1994). This was also supported by Muth and Donaldson (1998) who found a significant correlation between organisational performance and internal directors. Despite this, others refute this assumption (Hendry, 2005). For example, Nicholson and Kiel (2007) found no distinct sustenance to conform the assumption that a board dominated by insider representation will conclude in greater results.

#### **2.2.4.2 CEO duality**

Stewardship theory argues that merging the roles of CEO and chair of the board (CEO Duality) will enhance organisational performance (Elsayed, 2007). The rationale behind



this is that CEO duality eliminates the conflict and uncertainties which often ascend in power sharing relationships between two leaders (Davis et al., 1997). According to stewardship theory, when the two roles are separate, divergence between objectives is frequent, and so by integrating the two roles organisational prosperity will be enhanced (Elsayed, 2010; Ramdani & Witteloostuijn, 2010). Al-Shammari (2006, p. 41) further highlight that “this suggestion (CEO Duality) stems from the argument that executives are good stewards and try to perform their tasks with no attention to their utility maximization, which consequently will lead to higher firm performance”.

This debate contests the stewardship approach to agency theory (separation of the CEO and the chairperson of the board) (Ramdani & Witteloostuijn, 2010). Researchers have offered support for CEO Duality (Cornett, Marcus, & Tehranian, 2008; Machold, Huse, Minichilli, & Nordqvist, 2011). For example, studying the impact of board independence and CEO duality on firm performance for stock-listed enterprises from Asia, Ramdani and Witteloostuijn (2010) found evidence to support stewardship theory’s assumption that duality is positively associated with organisational performance. Despite this, a number of researchers have found little significant correlation between CEO duality and improved performance (Elsayed, 2007, 2010; Kiel & Nicholson, 2003). For example, Dalton, Daily, Ellstrand, and Johnson (1998) reveal mixed findings on the relationship between board independence (and CEO duality) and firm performance. They conclude that neither board structure (proportion of independent directors) nor board leadership arrangement (CEO duality) has been consistently associated to firm performance (Dalton et al., 1998).

While there are different psychological, situational and structural characteristics that can guide managers to behave less like self-interested agents and more like stewards, discussion has also focused on the development of stewardship relationships and behaviours, and how these can be entrenched into the organisation’s environment. This will be discussed in the following section.

### **2.2.5 Stewardship relationships and possible institutionalisation**

According to Davis et al. (1997, p. 38) whether or not stewardship relationships occur between the owner and manager, within an organisation is “a decision made by both parties to the relationship. The psychological characteristics of each party predispose each individual to make a particular choice. Second, the situational characteristics have

an influence on the choice”. However, the choice by each party causes a predicament, as relationships can become detrimental or successful based on that decision (Nowak & McCabe, 2003). This dilemma is highlighted by Davis et al. (1997) in their 'Principal-Manager Choice Model' (Figure 1).

		<i>Principles Choice</i>	
		Agent	Steward
<i>Managers Choice</i>	Agent	Minimize Potential Costs  Mutual Agency Relationship  1	Agent Acts Opportunistically  Principal Is Angry Principal Is Betrayed  2
	Steward	Principal Acts Opportunistically  Manager Is Frustrated Manager Is Betrayed  3	Maximize Potential Performance  Mutual Stewardship Relationship  4

**Figure 1: The principle and manager choice between agency and stewardship**  
Source: Taken from Davis et al. (1997, p. 39)

As Figure 1 demonstrates, when both the agent and principle choose an agency union, the outcome is a "true principal-agency relationship that is likely to achieve the expectations of each"; whereas, when both select a stewardship relationship a "true principal-steward relationship that is designed to maximize the potential performance of the group" (Davis et al., 1997, p. 38) is developed. However, problems arise when the choices diverge. For example, if a manager selects a steward relationship and the principle an agency approach, the probable result is an extremely unfulfilled and aggravated manager. Conversely, managers will take advantage of the organisation's owners if they choose an agency relationship and the principle a stewardship approach (Davis et al., 1997; Ghosh & Harjoto, 2011). Therefore, organisations should embrace the situational and structural underpinnings highlighted in sections 2.2.3 and 2.2.4 in an attempt to encourage stewardship relationships between organisational actors.

Researchers have attempted to theorise how stewardship can become the choice of governance through promoting the conditions through which stewardship behaviours can emerge (Hernandez, 2012; Segal & Lehrer, 2012). For example, Hernandez (2012) offers a model of 'stewardship antecedents' through exploring the structural and

psychological factors which encourage stewardship behaviours. Hernandez (2012) examined the structural underpinnings of stewardship through the ideas of 'control' and 'reward' systems. Control systems allow for a high degree of collaboration and a significant level of autonomy and responsibility; while reward systems emphasise intrinsic rewards.

The control systems nurture relationship-focused collaboration and creates what Haskins et al., (1998, p.35) call "an infrastructure for working together that transcends specific teams and specific projects. It enables large groups of individuals, even organizations, to go beyond working at tasks". These relationship-centred collaborations stem from relationships which are formed over time and allow for the use of personal power. Such relationships represent a shared approach to leadership practices where non-hierarchical relationships can be legitimised as means of influence and stimulates action towards a common mission. Due to the shared influence, these control systems can encourage an inclusive and flexible culture where people perform with independence but communally share responsibility for outcomes that can impact multiple stakeholders. Within this environment, social pressure to work together towards a common end results in individuals commitment to "upholding fiduciary obligations to institutional interests, as well as non-fiduciary moral obligations to stakeholders affected by an organization's actions" (Hernandez, 2012, p. 178). Conversely, the rewards systems support the facilitation of shared mental models of the organisation's values and purpose, and employees gaining intrinsic benefits from operating towards a value end. Additionally, an individual's long-term effectiveness is developed through nurturing self-efficiency and determination through development projects such as empowerment and elevated responsibility.

Hernandez (2012) goes on to suggest that such underpinnings lead to the formation of two distinct psychological cognitive and affective factors which create stewardship behaviours: (1) individuals personally cherish actions that benefit the enduring well-being of others and are guided in their behaviour by this long-term orientation and an other-regarding perspective (cognitive mechanisms) (Le Breton-Miller & Miller, 2006); (2) an affective feeling of association with others stimulates individuals to feel bound to supportively influence the collective (affective mechanisms). Therefore, an individual's feeling of duty is formed in part by their emotional connection to the recipients of their actions (Vilaseca, 2002). In other words, while stewardship theory takes a broad view -

acknowledging that the interests of groups that extend to the broader community - the extent of this pro-social behaviour is determined on the manager's perceptions of the potential recipients, their emotional association to the beneficiary groups, and their readiness to guard beneficiaries' interests (Coule, 2015; Hernandez, 2012). Support for the potency of cognitive and affective mechanisms in creating stewardship behaviours is found by previous studies. For example, through a survey of 643 middle managers in five multinational corporations, Crilly, Schneider, and Zollo (2008) found evidence that an individual's values, affect and cognition, influence their predisposition to act in socially responsible ways.

Hernandez (2012, p. 182) continues to suggest that these are linked to psychological ownership arguing that "the internalized desire to protect that which is psychologically owned channels employees' cognitive and affective motivations to willingly subjugate their self-interests for the long-term welfare of the collective". In other words, managers who feel a passionate sense of psychological ownership of the organisation are more likely to act as a steward (Wasserman, 2006), and in some cases can enhance organisational performance. This is supported by Sieger, Zellweger, and Aquino (2013) who found that psychological ownership, as a mediating influence on individual-level entrepreneurial behaviour, is positively related to organisational performance. They also argue that performance is weaker in those organisations which implement high level of control.

Hernandez (2012) suggests that while acts of stewardship typically occur in isolated cases of decision-making, a systemic shift from agency to stewardship could have the ability to redefine the functioning within organisational contexts. She highlights the importance of feedback loop processes as an avenue for creating stewardship organising. Here intergenerational reciprocity and organisational identity formation have the ability to influence structural factors through altering individual's obligations to others (Wade-Benzoni, 2002). Firstly, intergenerational reciprocity demonstrates that individuals will make decisions and behave in accordance with how they were treated previously by others, or how they are affected by decisions made past decision makers. Therefore, because individuals cannot directly return the benefits or afflictions left to them by previous others they will instead reciprocate by behaving similarly to the following generation. As a result, recollecting past stewardship behaviours could positively inspire individuals' feelings of retrospective obligation.

Secondly, the organisational identity orientation formation is an important element of the feedback loop process. Organisational identity orientation formation refers to the supposed nature of association between an organisation and its stakeholders as understood by its members. Hernandez (2012) relates stewardship to a collectivist orientation – one that aims to endorse and protect the welfare of an internal and external community. Hernandez (2012) highlights that instead of being identified as either structured to promote agency or stewardship governance, organisations inhabit a place along a continuum anchored by the two opposing perspectives. The positioning of the pendulum will shift depending on the how employees collectively conceptualise the stakeholders of the company. Therefore, if stewardship behaviours become inherent within an organisation this can strengthen collective tendencies which can then influence structural factors of the firm through relationship centred collaboration and intrinsic rewards by highlighting communal agendas. As a result, through stewardship behaviours individuals collectively and systematically drive the pendulum to stewardship rather than agency.

Similar research, by Segal and Lehrer (2012, pp. 169-170) argue that “even within the confines of a large traditional bureaucracy it may be possible to build a system relying upon intrinsic motivation and “internal” controls to ensure organizational performance and reduce fraud”. Inspired by Davis et al. (1997), they develop a “choice model of stewardship”, where administrators and employees regularly choose whether to be agents or stewards, thus making the model a form of continuum (Figure 2). The study focused on two main areas: the first part concerns how an organisation can move the majority of its members from quadrant 1 into quadrant 4; while the second focused on how such a stewardship organisation can be institutionalised so that it avoids drifting back to quadrant 1.

<i>Choice by Administrators</i>			
		Agent	Steward
<i>Choice by Employees</i>	Agent	Principal-Agent World: Controlled opportunism and corruption 1	Fox in Henhouse: Unchecked opportunism and petty corruption 2
	Steward	Fox in Henhouse: Unchecked opportunism and self-serving leadership 3	Stewardship world: Minimal opportunism and corruption 4

**Figure 2: Steward-agent choice model**  
Source: Taken from Segal and Lehrer (2012, p. 173)

In relation to the first point, EPS accomplished this through mechanisms such as representation, empowerment and besotting on them major responsibilities such as being in charge of spending controls. The study also distinguishes two main mechanisms that EPS used to successfully institutionalise stewardship: (1) mechanisms to keep trust high - devolution, competence-building; and inculcation and reflection, and (2) mechanisms to ensure that, even when trust is high, individuals continue to choose a stewardship position - self-regulation, peer regulation and outlier regulation. Through embracing these two mechanisms the authors imply that stewardship behaviours can become more inherent within a given organisation, and so offers a starting point for managers who wish to govern through this approach.

#### **2.2.6 Ethical stewardship**

Authors have also used the stewardship perspective to explore the notion of ‘ethical stewardship’ among leaders (Caldwell, Hayes, & Long, 2010; Caldwell & Karri, 2005). Ethical stewardship can be defined as “the honouring of duties owed to employees, stakeholders, and society in the pursuit of long-term wealth creation” (Caldwell, Hayes, Bernal, & Karri, 2008, p. 153) - managers are stewards whose motives are affiliated with the intents of numerous groups (Davis et al., 1997). Crilly et al. (2008) support this arguing that placing the long-term interests of the organisation ahead of one’s own welfare is increasingly seen as a significant quality of leadership that leans towards

stewardship. Therefore, managers/leaders peruse the best interests of all stakeholders by establishing high trust cultures that respects the extensive array of responsibilities obliged by firms to their 'followers' (Caldwell & Karri, 2005; Caldwell et al., 2011). As Caldwell et al. (2008, p. 152) suggests, "great leaders are ethical stewards who generate high levels of commitment from followers". Caldwell and Karri (2005) itemised a number characteristics of stewardship theory that have important leadership consequences. These include individuals who; display integrity and build trust, create value and benefits for all society, focuses on the long-term, honours relationships, shares information and decision-making, values the collective and people as individuals, and balances individual rights of citizenship and the collective welfare and growth of the community. According to Caldwell et al. (2008, p. 162), "stewardship theory and the principles of ethical stewardship provide a valuable alternative that can reverse the deterioration in public trust that characterizes society".

Therefore, studies argue that leaders who embrace the principles of ethical stewardship are more prone to develop high levels of trust through fashioning interpersonal relationships with followers (Caldwell et al., 2008; Caldwell et al., 2011). These interpersonal relationship are built on the evaluation of the individual as to the trustworthy of another individual to fulfil the duties fundamental within a perceived social contract present between the two (Caldwell & Clapham, 2003; Caldwell et al., 2010). Caldwell et al. (2010) found that when leadership behaviours are observed as honourable, trust increases and managers are more prone to be regarded as ethical stewards who respect the higher level obligations of the organisation.

Furthermore, the discussion on ethical stewardship is often associated with servant leadership (Van Dierendonck, 2011). Servant leaders are those who unite their motivation to lead with a desire to exhibit servant leadership. Therefore, servant leaders respect each individual as a valued end, instead of a means to organisational outcomes (Hosmer, 1995). Furthermore, they will place the needs, welfare, and interests of others above their own self-interest, while simultaneously respecting their obligation to the organisation. Table 7 highlights the main proponents which form servant leadership.

Empowering and developing people	Related to the development of people. It highlights to the follower that they are valued and their personal development is important. Empowering leadership behaviour also entails promoting self-directed decision-making, support, and the sharing of information. Empowerment can stimulate a self-assured and proactive attitude among followers. It can also give them a feeling of personal power. The intrinsic value of every individual is a central belief of the servant leader. Therefore, the relationship is also characterised by acknowledgement, and the awareness of each individual's capabilities and what they can learn. People are informed about the organisational strategy.
Humility	The capability for an individual to put their own successes and skills in perspective. Servant leaders actively pursue help from others because they can admit that they can benefit from others' input and knowledge. Therefore, the leader exhibits that they are putting others' interests first, enabling their performance, and giving them support. This element is also about modesty – for example, servant leaders will withdraw into the background when the assignment is successfully finished
Authenticity	Is about expressing one's self in a way that is coherent with their inner reflections and feelings. Servant leader's authenticity displays itself through doing what is pledged, acting honestly and adhering to a perceived moral system. It can also be defined as acting in such a fashion that professional roles linger remain secondary to whom the individual is as a person.
Interpersonal acceptance	The capability to understand and experience the feelings of others and where people are coming from, and to not carry prejudices into other situations. This also entails the perspective-taking element of compassion that centres on being able to cognitively adopt the psychological perspectives of other people and feel sensations of kindness, empathy, and clemency in relation to others - even when faced with difficult situations embroiled with offense, arguments and errors. Therefore, creating an environment where trust and the fear of making errors are made redundant is favoured.
Stewardship	This is about looking beyond self-interest and control mechanisms to take responsibility for the larger organisation/institution. Therefore, leaders act as role models for others and as a guardian of the organisation. Through exhibiting such behaviours they can motivate others to act in the communal interest. Therefore, stewardship is related to loyalty, team-working and social responsibility.

**Table 7: Characteristics of Servant Leadership**

**Source: Adapted from Van Dierendonck (2011)**

As highlighted in Table 7, this form of leadership is also displayed by empowering and developing individuals, by conveying humility, authenticity, interpersonal acceptance, and stewardship. Therefore, the interaction between the leader and the follower is of great significance and is characterised by these elements (Van Dierendonck, 2011). To help develop this relationship, servant leaders also rely on persuasion in their interactions with followers and endeavour for consensus in the groups they lead. In support of this perspective, studies have suggested that because servant leadership is people-focused they are more likely to develop a cohort of employees who are more committed, better performers, and think through a collaborative/collective mentality



(Van Dierendonck, 2011). For example, Pfeffer (1998) highlights how Herb Kelleher, the former CEO of Southwest Airlines, gained substantial levels of employee commitment through embracing the characteristics of a servant leadership approach.

#### **2.2.6.1 Stewardship – from leaders to “followers”**

Using stewardship theory, Hernandez (2008) explored the motivational and relational behaviours promoted by leaders that encourage a consciousness of personal obligation in followers/employees – in other words, creating organisational stewards. According to Hernandez (2008), creating stewardship behaviours among ‘followers’ is regarded as essential, as the decisions made by organisational players have an enduring bearing on future generations. Therefore, existing individuals must consider the compromises between present rewards and the possible effects for future society (Wade-Benzoni, 2002).

Consequently, organisational leaders, as role-models, have a significant responsibility in producing the behaviours required among employees/followers as their own actions will endure all the way through to forthcoming stakeholders and decision-makers. Therefore, if managers/leaders embrace the longstanding best interests of others ahead of self-serving ones, a sense of stewardship will be infused in their followers and future generations (Caldwell et al., 2010; Hernandez, 2008). Table 8 highlights the three forms of support created by leadership which have an influence over the extent to which stewardship behaviours of their followers are created.

Supportive Behaviours	Description	How and result
Relational	<ul style="list-style-type: none"> <li>Based on the interpersonal relationship between the leader and follower.</li> <li>Involves a social contract where the leader assumes personal accountability to serve the followers concerns.</li> <li>This infers that the follower has a degree of helplessness and something at risk. In response, the leader is committed to preventing the follower's exposure to hurt or cost.</li> </ul>	<ul style="list-style-type: none"> <li>The leader demonstrates concern, reverence, and equity towards the follower.</li> <li>Participative environments and open forms of communication.</li> <li>The result is a form of mutual trust which endures.</li> <li>Relational support is generated.</li> <li>Dependant on the follower's verdict of the consistency and reliability of the leader's decisions and through their interactions with them</li> <li>Relates to the high-commitment management philosophy</li> </ul>
Contextual	<ul style="list-style-type: none"> <li>Based on the institutional relationship between the leader and follower entrenched inside the organisational network</li> <li>Involves a form of social contract where the leader assumes personal accountability to serve the concerns and necessities of the follower</li> <li>Grounded in an ethically established duty owed and legal responsibility, the leader aims to protect the needs of many followers</li> <li>The leader must appreciate the individual needs and motivations of followers within the firm's environment</li> </ul>	<ul style="list-style-type: none"> <li>The wider mission of the firm must be conveyed to followers in order to generate an awareness of coherence.</li> <li>Through this, contextual support is obtained through leaders transmitting clarity regarding the firm's context.</li> <li>Contextual support generates institutional trust.</li> <li>Constructing enduring group commitment is created through confidence in the "truster".</li> <li>Therefore, the leaders function in generating stewardship outcomes is to offer reliable expectations in the provision of the firm's mission.</li> <li>Belief in this will create organisational commitment with followers embracing a sense of community.</li> <li>Through a feeling of coherence between governance structures, processes and policies, followers will also feel that they can influence internal procedures and better comprehend the effects of the firm's actions.</li> </ul>

Motivational	<ul style="list-style-type: none"> <li>• Motivational support is facilitated by relational and contextual support.</li> <li>• The aim is to generate an internal and active orientation to a person's organisational role.</li> <li>• Follower's assurance in their usefulness is created through an intrinsic job motivation.</li> </ul>	<ul style="list-style-type: none"> <li>• Leaders who develop and cultivate motivational support in followers do so by helping them believe in their ability to execute activities with proficiency.</li> <li>• Through inspiring self-determination, leaders can also encourage followers to police their own actions and implants a feeling of autonomy over their own behaviours and processes.</li> <li>• Through the social contact, interpersonal and institutional relationships are used to develop a motivational base that nurtures confidence in followers that they have the aptitude to achieve given tasks and the aspiration to do so.</li> <li>• Leaders can instil intrinsic motivations in followers through processes and designing work that offer significant and meaningful consequences.</li> <li>• Through this, morally courageous followers are created that take personal responsibility for their actions.</li> </ul>
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**Table 8: Leadership behaviours which influence stewardship**  
**Source: Adapted from Hernandez (2008)**

Closely related to the thinking above, Caldwell and Karri (2005, p. 249) propose a covenantal model of stewardship theory where “organizations are more likely to build trust – both at the organizational level and at the interpersonal level – when they create reinforcing and integrated systems that honour implied duties of covenantal relationships”. Regarded as a form of relational contract, covenantal relationships are built on two common commitments from both factions: (1) both groups must be bounded around a shared purpose or interest; (2) neither should exploit the other. The steward's obligation is to generate this covenantal relationship through fulfilling their duty to all stakeholders and its social responsibilities. Caldwell et al. (2010) argue that trustworthiness is a significant precursor to manufacturing personal commitment and trust. Therefore, that it can be perceived/measured by others in the form of a continuum where the higher the trust the more likely there will be enhanced commitment among stakeholders.

### **2.2.7 The link between stewardship and agency**

Within research, stewardship theory is often highlighted as an alternative to agency theory (Segal & Lehrer, 2012). However, despite assumptions on a “one best way” to corporate governance (Donaldson & Davis, 1994), others suggest that neither is exclusive and that both perspectives are needed (Hoskisson, Hitt, Wan, & Yiu, 1999). For example, Kulik (2005) suggests that a culture based entirely on stewardship is an unlikely solution in reducing agency problems, and that a balance between the two approaches would be more appropriate. According to Davis et al. (1997) stewardship theory is not in contrast to agency theory; rather it helps explain some managerial behaviour in addition to agency.

Applying agency and stewardship theories to corporate governance, Sundaramurthy and Lewis (2003) highlight the negatives of both. They emphasise how too much focus on trust and collaboration can lead to group-think; while too much concentration on control mechanisms can lead to a self-serving cycle that can heightened distrust. Therefore, Sundaramurthy and Lewis (2003, p. 411) argues that an “either/or” approach may create detrimental results. Others suggests that both approaches are relevant, however are more significant in specific circumstances or contingencies (Bruce, Buck, & Main, 2005). For example, degrees of control, central to both perspectives, are suggested to require change over the tenure of an organisations life. As an organisation becomes larger and more mature, its structure becomes more bureaucratic and formalised, the layer of employees enlarges, and roles become more defined. This often means control becomes more necessary to manage organisational activities (Blau, 1970). As steward’s motivations are associated with high order needs, these changes have the ability to reduce such intrinsic motivations making the environment redundant for stewardship to flourish. It is also implied that as a company grows the psychological ownership diminishes. This is because founders often need to share leadership and decision-making, hence reducing commitment (Wasserman, 2006). Therefore, issues relating to higher levels of compensation and self-serving interests become more significant.

Using empirical literature on governance and management, Van Puyvelde et al. (2012) also combine agency and stewardship with stakeholder to provide a more complete principal-agent theory of non-profit organisations. Firstly, due to the assumption that it is unclear who should be regarded as the principle of a non-profit organisation, they use stakeholder theory (Hill & Jones, 1992) to identify multiple principles of a non-profit

organisation and divide non-profit principal-agent relationships into different categories. They then suggest that an extended principal-agent is required for non-profit organisations that does not simply take into consideration “traditional agency situations” that assume goal divergence, but also needs to centre on “stewardship situations” in which agents share the same interests as the principal or are motivated to act in the best interest of the principal. For example, discussing financial donations to non-profit organisations (who therefore can be regarded as principals who delegate decision-making authority to the organisation) they suggest agency and stewardship approaches to managing their interests. From a stewardship perspective they assume that non-profit organisations are motivated to act in the interests of their contributors. In doing so they cite Kelly’s (2001) four approaches non-profit organisations can employ to develop positive fundraising relationships with their donors: reciprocity – the organisation displaying thankfulness towards donors; responsibility – organisations perform in a socially accountable manner to their donors. For instance, highlighting to donors which projects their contributions have funded or how their money has been used. This helps donors feel more confident in the organisations actions; reporting – providing donors with accurate financial information and how their money has been expended; and relationship nurturing – building constructive relationships with donors outside fundraising – for example, through inviting them to special events.

On the other hand, they highlight the agency-based approach which implies that auditing and accounting mechanisms, often seen as bonding costs, affect donations to non-profit organisations and affect the relationship with such contributors. However, while this article does provide a foundation for a more encompassing exploration of the principle-agent perspective, the article clearly expresses the lack of extensive empirical within this area, especially combining perspective of corporate governance (Van Puyvelde et al., 2012).

#### **2.2.8 Stewardship and family firms**

Within the context of family firms, stewardship theory has received much attention and support (Eddleston & Kellermanns, 2007; Eddleston et al., 2008). Stewardship theory has received acceptance as relevant for understanding differences between family and nonfamily firms (Corbetta & Salvato, 2004). Research suggests that family managers are more likely to identify themselves with the organisation than non-family managers do (Miller, Breton-Miller, & Scholnick, 2008b), and because so will invest substantially

to increase its value for all its stakeholders (Le Breton-Miller, Miller, & Lester, 2011). Anderson and Reeb (2004) argue that because families strongly identify themselves with their organisation they see it as an extension of their own well-being, making them more prone to stewardship behaviours.

Miller, Breton-Miller, and Scholnick (2008a) also suggests that stewardship can take three forms – continuity, community and connection. Continuity signifies the intention to safeguard the endurance of the organisation, which will benefit numerous family members over time (Siebels & zu Knyphausen-Aufseß, 2012). This ambition of continuity engenders community, or the development of a collective culture inhabited by proficient and stimulated employees (Miller et al., 2008a). Lastly, connection is the product of the robust relationships with external stakeholders that may support the businesses sustainability during periods of financial depravity (Siebels & zu Knyphausen-Aufseß, 2012). Additionally, because family organisations can determine the future economic prosperity, reputation, and destiny of the clan, family managers/owners are more inclined to act in the long-term interests of the business (Vallejo, 2009). This is supported by Arregle, Hitt, Sirmon, and Very (2007, p. 84) who claim that family members are concerned about the firm because it is part of their collective patrimony and is often the main asset of the family. For example, the economic destitution of the organisation can have a direct effect of the family – earnings and careers opportunities (Eddleston et al., 2008).

Such stewardship behaviours have a positive effect on employees (Eddleston et al., 2008). Stewardship over employees, which can involve training, empowerment, and an flexible working culture (Arregle et al., 2007; Miller et al., 2008b), facilitates the construction of a motivated and loyal working environment (Miller & Breton-Miller, 2006). Successful stewardship family firms also convey high levels of ‘reciprocal altruism’ (Eddleston et al., 2008). Corbetta and Salvato (2004) note that this relates to the “unselfish concern and devotion to others without expected return ... whose primary effect is a strong sense of identification and high value commitment towards the firm”. According to Eddleston et al. (2008), reciprocal altruism is a significant factor, not only in stewardship family firm, but also for company performance. However, some argue that stewardship behaviours in family firms will decrease as the number of family directors, generations, and votes become larger (Le Breton-Miller et al., 2011). Le Breton-Miller et al. (2011, p. 717) argue that when this happens, “stewardship declines

... that is, there is less of a tendency to invest in long-term initiatives such as research and development, to fund such investment, and to bear the associated risks”.

### **2.2.9 Criticisms of stewardship theory**

Despite its supporters, stewardship theory has not gone uncontested. Firstly, stewardship theory is generally under-researched, with too much focus being centred on distinguishing it from agency theory rather than advancing the knowledge of the concept (Hernandez, 2012). For example, Hernandez (2012) identifies a lack of research in exploring the antecedents that enable and explain the development of stewardship behaviours, rather on how managers and organisations behave. This is particularly pertinent to the organisational level factors that develop the psychological processes that result in stewardship behaviours – with Hernandez (2012) theoretical contribution being a rare exception. Furthermore, much of the research within the stewardship perspective concentrates on CEO and executive level rather than exploring how stewardship behaviours are established among lower level managers. Furthermore, stewardship theory suffers from being static as it only considers the relationship between individuals at a single point in time (Wülferth, 2013). Therefore, there is little reflection on how and why individual motivations and actions change over time and how these influence their propensity to embrace stewardship behaviours. This is important, as if an organisation wishes to embrace governance which nurtures enduring stewardship such elements are pivotal in this being a realisation (Segal & Lehrer, 2012).

Other critics consider the theory to be too naïve (Lan & Heracleous, 2010; Sieger et al., 2013). Lan and Heracleous (2010, p. 303) suggest that in the absence of control measures, even when trust prevails, “we simply assume managers would do the right thing”. Marvel and Marvel (2008, p. 188) support this explaining that “in an era of accountability and result-oriented management, reliance on trust may not satisfy constituents who seek evidence of effective service delivery”. Furthermore, investigating whether psychological ownership among senior managers in the absence of formal ownership can align agents’ interests with those of principals, Sieger et al. (2013, p. 379) contest stewardship’s assumption of the absence of managerial opportunism and highlight that: “We do not ... support the absence of opportunism that is argued for under the stewardship, identification, and commitment theory umbrellas”. Additionally, the notion that steward-like behaviours could be institutionalised on a large scale seems to be far-fetched (Choi & Wang, 2007). This argument is based on the

claim that steward-like behaviours are too dependent on situational factors and that they are unsustainable due to the inherent opportunism of human nature (Segal & Lehrer, 2012). Some believe that this is due to the traditional institutional beliefs that have dominated the workplace context, and that stewardship on a large scale would be impractical (Choi & Wang, 2007; Segal & Lehrer, 2012). This is due to the bureaucratic landscape which had dominated early organisational thinking, and that monitoring is essential to ensure productivity and corruption is controlled (Marvel & Marvel, 2008; Van Slyke, 2007). As Marvel and Marvel (2008) explain: “in an era of accountability and result-oriented management, reliance on trust may not satisfy constituents who seek evidence of effective service delivery”. Others imply that a possible stewardship organisation could be exceedingly susceptible to exploitation/abuse by non-stewards (including outside contractors), individuals who have not been completely socialised, and newly recruited employees (Segal & Lehrer, 2012).

Moreover, the theory is often contained to the inside workings of an organisation and how stewards can be nurtured within its own working population (Johnson, 2011). There is very limited application of the perspective and how possible stewards could be created outside the organisational domain to its wider stakeholders. Although not about creating stewards per se - rather generating a more enduring level of support - this line of enquiry is often addressed through stakeholder theory.

## **2.3 Stakeholder Theory**

This chapter will review the current body of literature concerning stakeholder theory. It will begin with an exploration into its historical roots followed by an examination of its different research avenues.

### **2.3.1 Stakeholder theory: origins**

The stakeholder concept originates from the 1960's within the Stanford Research Institute who define the term as, “those groups without whose support the organisation would cease to exist” (Stanford Research Institute, 1982). Despite this, earlier stakeholder thinking can be seen in the works of Dodd (1932) and Abrams (1951) who suggested that organisations have a social service role beyond that of profit-making. However, it was Freeman (1984), through his book 'Strategic Management: A Stakeholder Approach', that the approach was brought into mainstream management literature. Freeman (1984, p. 5) regarded stakeholder theory as a response to the need



for managers to understand and respond to a progressively unpredictable external environment; and that, at the time, existing management theories were inadequate. This entailed; foreign competition, globalisation, government policies, firm takeovers, advancements in technology, and changing industrial relations. Therefore, organisational effectiveness relies on managers dealing with “those groups that can affect you, while to be responsive (and effective in the long run) you must deal with those groups that you can affect” (Freeman, 1984, p. 46).

According to Freeman (1984), organisations are characterised by a variety of stakeholders whose demands and concerns often diverge from shareholder interests. These stakeholders include: customers, employees, government bodies, local communities, suppliers, and private entities. Freeman (1984) highlights that conforming to stakeholder analysis will reduce the possibilities of law suits, damaging regulation, and market share loss. Therefore, the rationale of the organisation is to reflect, organise, and balance stakeholder demands (Phillips, Freeman, & Wicks, 2003). Thus, managers have a duty to not only administer shareholder’s needs, but to have a moral obligation to stakeholders too. This entails developing knowledge in understanding why stakeholders surface, their concerns, and their level of commitment (Jones, 1995). While there is moral reasoning for organisations managing the interests of stakeholders, there are also economic justifications which are apparent, such as enhancing financial performance (Ogden & Watson, 1999).

Through an assessment extant literature, Donaldson and Preston (1995) propose three streams of stakeholder theory research; descriptive (what happens?); instrumental (what happens if?), and normative (what should happen?). Through developing and adapting existing theories, the descriptive strand focuses on describing and/or explaining how firms or their managers actually behave (Mitchell, Agle, & Wood, 1997), illustrating the organisation as a network of diverse interests that are recognised to be of intrinsic importance (Donaldson & Preston, 1995). The instrumental strand is strategic in nature and embraces a means-ends reasoning, concentrating on how relationships with stakeholders can be managed and their impact (typically financial) on the firm (Berman, Wicks, Kotha, & Jones, 1999). This stream attempts to identify the consequences if particular behaviours and actions are taken with respect to the organisation’s stakeholders. Lastly, the normative strand describes what organisations and managers should do based on ethical frameworks and concepts such as: the common good

(Argandoña, 1998), risk (Clarkson, 1994), fair contracts and fairness (Freeman, 1994; Phillips, 2003), and claims that stakeholders should be treated as ends, independent of the instrumental consequences (Jones & Wicks, 1999). Therefore, organisations should consider stakeholder interests as a moral obligation; not for strategic, instrumental, or power/urgency/legitimate claims (Butterfield, Reed, & Lemak, 2004). Based on these streams, the following sections will explore the existing research on stakeholder theory, ending with some criticisms of this perspective.

### **2.3.2 Stakeholders: Who are they?**

What constitutes a ‘stakeholder’ has been debated (Kochan & Rubinstein, 2000), with definitions varying depending on factors such as: interests, rights, claims, influence, and authority. Despite differences, each approach generally represents the same assumption – organisations should pay attention to the needs, interests, and possible influence of those who are affected by their operations (Buchholz & Rosenthal, 2005). Accordingly, definitions can be categorised as either broad or narrow (Driscoll & Starik, 2004).

Broad definitions typically follow a moral focus and centre on including any group or individual who can affect or be affected by organisations actions (Gibson, 2000). For example, Mitroff (1983, p. 4) states that, “stakeholders are all those parties who either affect or who are affected by a corporation’s actions, behaviour, and policies”, while, Carroll (1993, p. 22) describes them as “individuals or groups with which business interacts with or who have a stake, or vested interest, in the firm”. Despite being widely cited, broad definitions are argued to be too all-encompassing (Agle, Mitchell, & Sonnenfeld, 1999), meaning that possibly everyone can be regarded to be a stakeholder (Winn, 2001). Alternatively, narrow definitions are grounded on the stakeholder’s significance to the long-term existence of the organisation or on the presence of a contractual relationship. For example, Freeman and Reed (1983) describe stakeholders as groups for which the organisation is reliant on for its continued survival. Closely aligned, Cornell and Shapiro (1987, p. 5) describe stakeholders as “claimants” who have “contracts with the organisation”.

Other research has sought to define specific stakeholder categories and often encompass employees, customers, shareholders, communities, environment, suppliers, public interest groups, media, and regulators (Starik, 1995). Famously, Clarkson (1995) created a hierarchical approach through the notion of primary and secondary

stakeholders. Primary stakeholder are those “without whose continuing participation the corporation cannot survive as a going concern” (Clarkson, 1995, p. 106), and include: shareholders, investors, customers, employees, suppliers, governments, and communities. Conversely, secondary stakeholders are “those who influence or affect, or are influenced or affected by, the corporation, but they are not engaged in transactions with the corporation and are not essential for its survival” (Clarkson, 1995, p. 107). This includes the media, and interest groups. While such groups are not essential for firm survival, they can cause substantial damage (Eesley & Lenox, 2006).

According to Phillips et al. (2003), it may be helpful to distinguish between normative and derivative stakeholders. Normative stakeholders are those with whom the firm has a “direct moral obligation to attend to their well-being”, while derivative stakeholders are those “groups or individuals who can either harm or benefit the organization, but to whom the organization has no direct moral obligation as stakeholders” (Phillips et al., 2003, p. 489). Derivative stakeholders include competitors, activists, terrorists, and the media. While the firm is not managed for the benefit of derivative stakeholders, they claim managers must consider them in their decision-making due to their ability to influence the organisation and its normative stakeholders. While categorising stakeholders may be important, another stream of research focuses on stakeholder identification and who managers should and do pay attention to – these will be discussed next.

### **2.3.3 Stakeholder identification and salience**

Stakeholder identification and who managers should and do pay attention to has revived substantial interest (Driscoll & Starik, 2004). For example, Mitchell et al. (1997) stakeholder identification and salience framework is the most notable contributions. This framework suggests that the way managers prioritise competing stakeholders is dependent on their perceptions of three stakeholder attributes: power to influence the firm, legitimacy of a relationship, urgency of a claim. The greater the legitimacy, urgency and power of the stakeholder, the superior that group’s saliency will be in the eyes of the organisation or manager (Eesley & Lenox, 2006). This approach has gained academic support (Agle et al., 1999), while others have attempted to develop it (Santana, 2012). For example, Eesley and Lenox (2006) advances the approach by defining saliency, not in terms of perceptions, but as in actions. They claim that saliency in the mind of the manager is not fixed and will depend upon the requests made by the

stakeholder, and that organisations are not similar so requests made by stakeholders may render more positive results from one firm but not in another.

Who managers consider as important stakeholders also depends on the organisation, industry and management orientation. For example, Fineman and Clarke (1996) found that organisations were most concerned about stakeholders who were a threat to their industry and held legitimate claims. Crilly and Sloan (2012, p. 1175) also found that identification is based on managerial cognition, arguing that "some firms are better at addressing stakeholder concerns because their managers have fundamentally different ways of conceptualizing the firm and its relationship to society". Others have explored the link between stakeholder management and corporate environmental strategies (Buysse & Verbeke, 2003). For example, Henriques and Sadosky (1999) found that environmentally proactive managers place more emphasis on identifying more stakeholders. They argue that proactive firms place more significance on community stakeholders such as: local groups, special interest groups, and environmental organisations.

#### 2.3.4 How should and do organisations manage stakeholders

Based on theoretical and empirical studies, substantial consideration has focused on how organisations should and do behave in order to manage stakeholders. Examples of these studies are highlighted in Table 9.

Approach	Description	Reference
Freeman's theoretical matrix	Firms manage stakeholders based on their ability to be cooperative (opportunity) or competitive (threat). Strategies include: offensive – used if the stakeholder has relatively high cooperative potential and relatively low competitive threat; defensive – used if the stakeholder group has a relatively high competitive threat and relatively low cooperative potential; swing – used if the stakeholder has a relatively low competitive threat and cooperative potential; and hold – used if the stakeholder has a relatively low competitive threat and cooperative potential.	(Freeman, 1984)
Stakeholder integration mechanisms	Organisations embrace approaches which can integrate stakeholders. This includes: co-optation - building relationships with important stakeholders by absorbing them into the firm's leadership or policy-determining structure; buffering - building relationships with reps from groups of stakeholders; mutual learning – managing symbolic interdependencies of dynamic stakeholders via	(Heugens, van den Bosch, & van Riel, 2002)

	collaborative processes; meta-problem solving - mutual learning on the network level by combining perspectives and resources of multiple institutions.	
Fairness	Organisations should manage based on the principle of fairness and should accommodate stakeholders in ratio to the profits received from them. Trust is imperative to the ethical treatment of stakeholders and a remedy for the dilemma of unfairness within the union. Because some stakeholders have limited levels of power, they must rely of the trustworthiness of the organisations for appropriate interaction and to satisfy their moral responsibility.	(Greenwood & Van Buren III, 2010; Hayibor & Collins, 2015)
Life-cycle Stage	How organisations manage stakeholders will differ due to the changing environment or lifecycle of the relationship and the firm. Stakeholders have varying needs at different times and so managers must alter their strategies in order to effectively manage them.	(Holzer, 2008; Jawahar & McLaughlin, 2001)
Identity orientation	Firms manage stakeholders based on its organisational identity orientation. There are three categories: individualistic – firms focus on self-interest and pursue strategies which benefit the firm; relational - maintains strong (trust-based) ties with stakeholders, possessing particularised bonds; and collectivist – working with stakeholders towards a common purpose through voluntary engagement and is characterised by emotional ties and meaningful personal relations.	(Brickson, 2005, 2007; Randel, Jaussi, & Standifird, 2009)
Institutional differences	Institutional differences within countries influence firm's responsiveness to stakeholder pressure. Stakeholder engagement is dependent on differing national legal traditions and cultures. For example, it is implied that Continental Europe or Japan are more prone to stakeholder engagement than those in the United States.	(Ayuso, Rodríguez, García-Castro, & Ariño, 2014)

**Table 9: How organisations should and do manage stakeholders**

The examples in Table 9 highlight the theoretical and empirical studies which have explored how organisations should and do manage stakeholders. These approaches illustrate the differing considerations and possibilities which are open to organisations and managers (Kang, 2013). A central theme in these studies is that careful consideration must be placed on the approach taken to manage specific stakeholder group's stakeholders (Rowley, 1997), and that this changes depending on contextual environment or life-cycle stage (Doh & Guay, 2006). Despite these contributions, the actual task of balancing stakeholder interests is intricate regardless of the strategy embraced. This challenge will be discussed in the following section.

### **2.3.5 Balancing stakeholder interests**

Balancing stakeholder interests is challenging. As Reynolds, Schultz, and Hekman (2006, pp. 285-286) argue, “balancing stakeholder interests is arguably the most critical of stakeholder principles as it represents the mechanism by which managers “pay attention to, elicit, and maintain the support of stakeholder groups with disparate needs and wants”. However, this process is difficult as different stakeholders translate managerial actions inversely (Lamin & Zaheer, 2012). For example, Bendheim, Waddock, and Graves (1998) found that best practices for balancing stakeholders differ between industries.

Authors suggest strategies for balancing interests. For instance, Lampe (2001) suggests mediation. Mediation requires the immersion of compromise, inclusion and cooperation and allows organisations to evade expensive and time-consuming stakeholder tactics such as lobbying, legal avenues and strikes. Werder (2011) also suggests that the issue of opportunism is also inherent within stakeholder actions and that unscrupulous behaviours have the ability to surface within the firm/stakeholder and stakeholder/stakeholder relationships. However, Reynolds et al. (2006) found that amalgamated resources and disproportionate levels of stakeholder saliency limit the ability of managers to successfully balance stakeholder interests. Despite this, they continue to suggest that an “across-decision approach generates more instrumental value and is perceived to be more ethical than the within-decision approach” (Reynolds et al., 2006, p. 297).

### **2.3.6 How is stakeholder support realised by organisations?**

Managerial attention to engaging stakeholder interests is critical (Bosse, Phillips, & Harrison, 2009), and is an essential task for management to administer stakeholders and gain their support (Julian, Ofori-Dankwa, & Justis, 2008). The following sections highlight research in this area.

#### **2.3.6.1 Building relationships, trust and avoiding opportunism**

Studies argue that managers should build relationships based on trust, principled behaviours and mutual legitimacy with stakeholders (Marens & Wicks, 1999; Ulmer & Sellnow, 2000). For example, Ramchander, Schwebach, and Staking (2012) argue that firms will improve stakeholder relationships if they strengthen and create reputable

links with them. Similarly, others contend that organisations that bestow stakeholders with more utility and responsibility to their stakeholders will gain more contribution and support (Wicks & Harrison, 2013; Zattoni, 2011). Husted (1998) also emphasise that gaining support requires firms to give stakeholders a voice in decision-making processes. Research also indicates that organisations who develop and maintain reciprocally trusting and collaborative relationships with their stakeholders will attain competitive advantage over those who do not, or peruse unions based on opportunism and self-interest (Pirson & Malhotra, 2011; Schnackenberg & Tomlinson, 2014). Calton and Lad (1995, p. 274) supports this, arguing that:

“Social contracting within networks is, essentially, an interactive, participant-driven, developmental trust-building process [and this] works to create and sustain a durable, resilient basis for effective and efficient organizational interaction by minimizing the moral hazard of participant opportunism”.

Additionally, Butterfield et al. (2004) proposes factors which help firms gain stakeholder support. This includes: participation, trust, the ability to compromise, honesty, tolerance of differing locales, open communication, consist policies, and keeping to ones words. Others warn managers against the possession of authorised or unauthorised secrets which can damage reputable links to stakeholders (Anand & Rosen, 2008). Jones (1995, p. 432) supports this arguing that:

“trusting and cooperative relationships help solve problems related to opportunism ... and that because ... the costs of opportunism and of preventing or reducing opportunism are significant, firms that contract on the basis of trust and cooperation will have a competitive advantage over those that do not use such criteria”.

Furthermore, Choi and Shepherd (2005) found that support for firms are more likely if it is perceived to be older, legitimate, respected, accountable and reliable. Consequently, they indicate that “managers might be well advised to invest disproportional emphasis on the cognitive legitimacy problem of newness [and monitor] how key stakeholders perceive the values and goals of the new venture and attempt to improve the affective congruence with them” (Choi & Shepherd, 2005, p. 591). Studies also comment on stakeholder representation as a significant approach to legitimising stakeholder interests (Freeman & Evan, 1990; Moriarty, 2012). For instance, Luoma and Goodstein (1999) discovered that organisations use representation to garner stakeholder support, detecting

that “in larger corporations in particular, stakeholder representation on corporate boards has assumed a degree of legitimacy as a means of responding to stakeholder interests” (Luoma & Goodstein, 1999).

#### **2.3.6.2 Raising awareness and Reputation Management**

Communication and raising awareness is vital in engaging stakeholders (Steyn, 2004). Commonly promoted through mediums such as images, concepts, anecdotes and experiences, these are used to engender positive stakeholder realtions (Stuart & Kerr, 1999). Therefore, managers attempt to gain stakeholder support through reputation management (Carter, 2006; Puncheva, 2008), aimed at elevating patronage for organisational policies (Keller, 2001; Rowley, 1997). Additionally, messages pertaining organisations socially responsible actions are an important reputation management activity, usually dispensed through various form of media such as advertising, documentation and publications, and social media and the internet (Perez-Batres, Doh, Miller, & Pisani, 2012). However, this is challenging as messages may reach only a small number of potential interests (Paul, 2015). Furthermore, while an organisation may be successful in conversing messages to one stakeholder, the same message may be overlooked or convey a different meaning to different stakeholders (Paul, 2015).

Scott and Lane (2000) suggest three main tactics which organisations could utilise to increase organisational identification and stakeholder support; entrenching stakeholders within the firm’s community, augmenting the perceptibility of company-stakeholder relationships, and through enhanced organisational communications such as mission statements. Others stress the significance of websites to disseminate knowledge concerning an organisation’s objectives, mission, policies and ethics (Esrock & Leichty, 2000; Jones, Temperley, & Lima, 2009). For example, Snider, Hill, and Martin (2003) believe that stakeholder theory serves as an integral part of the concept of corporate social disclosures, stressing that information such as mission and value statements found on websites are a good approach in developing stakeholder relationships. Therefore, through the accessibility to meaningful information, organisational understanding and transparency can be augmented (David, 2001; Pirson & Malhotra, 2011), and as a result can elevate stakeholder support for managerial policies and actions (Gregory, 2007).



The use of events to stimulate a shared understanding of an organisation's objectives and actions are also significant (Perez-Batres et al., 2012). For example, exploring public engagement in heritage, McDonald (2011) implies that once personally attached, individuals develop an enduring interest in conserving and protecting what is significant to them. Therefore, events and festivals could assist people in becoming more personally attached to their heritage, resulting in heightened public involvement (McDonald, 2011).

Weber and Marley (2012) also indicate that organisations should ensure that they include the relevant and desired information in their organisation's corporate social responsibility and sustainability reports in relation to stakeholder relations. This is supported by Gardberg and Newbury (2013) who discovered that stakeholders are less prone to mobilising against an organisation if they are knowledgeable about it, with the available provision of strategic documentation and information concerning the organisation being pivotal in ensuring this knowledge. Research also emphasises that disclosure, clarity and accuracy of information regarding the firm and its actions, and the strategic use of open information systems, can increase organisational transparency (Schnackenberg & Tomlinson, 2014). Consequently, this transparency leads to greater trust in the organisation and its mission (Pirson & Malhotra, 2011).

Despite this, Barnett (2014) argues that the increasing levels of information disclosed can act as a potential avenue from which to reduce possible stakeholder action against the organisation. This is because as more information becomes available to the stakeholder, they find it difficult to decide what aspect of the organisation to focus on. This is reinforced by Williams (2008) who found that "green noise" (the streams of environmentally positive information produced by organisations) has the ability to bewilder genuine stakeholders who are concerned about company malpractice.

#### **2.3.6.3 Philanthropy**

Charitable contributions are used to gain stakeholder support (Deephouse, 2000; Jia & Zhang, 2014). For instance, Haley (1991, p. 502) found that contributions are used by managers to inspire stakeholder backing: "Contributions tell stories, emphasize points, and display morals to stakeholders. Thus, contributions form managerial masques - allegorical attempts to influence society". Godfrey (2005, p. 788) supports this arguing that:

“As stakeholders consider possible punishments and sanctions, positive moral capital acts as character evidence on behalf of the firm [and] encourages stakeholders to give the firm the benefit of the doubt regarding intentionality, knowledge, negligence or recklessness”.

Therefore, corporate generosity manufactures moral capital which can provide a defence mechanism for organisational assets and shareholder wealth. Brammer and Millington (2004) also argue the charitable contributions are a response to growing social and environmental pressures and are seen as essential to gain support and leverage among stakeholder groups. Similarly, Wang and Qian (2011) found that organisational charitable contributions enhanced corporate financial performance. However, Wang, Choi, and Li (2008) find that while corporate philanthropy contributes to increase financial performance, as it increases it becomes more problematic. This is due to the direct costs which incur as contributions continue. Collectively, the strategies proposed in section 2.3.6 are commonly linked to organisational performance, and will be discussed in the following section.

### **2.3.7 Stakeholder management and organisational performance**

Stemming from the instrumental thinking, a common theme is that stakeholder management will improve organisational performance (Bridoux & Stoelhorst, 2013). This research explores claims that if an organisation’s stakeholder management is poor they will experience problems, and often focuses on financial performance (Waddock & Graves, 1997).

Studies have explored the link between stakeholder management and financial performance (Moura-Leite, Padgett, & Galán, 2014), with many providing evidence of a positive relationship between the two (Brower & Mahajan, 2012). As Ramchander et al. (2012, P. 312) argue, “firms that engage in effective and credible stakeholder management are rewarded with a positive share price reaction”. This is supported by empirical evidence highlighting that firms paying greater attention to stakeholders’ experience increased performance (Choi & Wang, 2009). For example, Ogden and Watson (1999) found that in spite of short-term associated costs of stakeholder management, the result was heightened financial success. Therefore, they suggest that “an economically successful firm will necessarily be one in which senior management adopts ... strategies and policies that facilitate the maintenance of an appropriate balance between different stakeholder interests (Ogden & Watson, 1999, p. 527).

However, conflicting research suggests that the relationship varies. For example, Bird, Hall, Momentè, and Reggiani (2007) found that, while there is limited evidence to imply that managers who take into consideration stakeholder interests will threaten organisational goals, it may not be helpful. For example, they found that despite pressure to comply with environmental regulations, organisations that go beyond what is necessary receive little support and could be detrimental to company performance. Studies also demonstrate a lack of evidence between stakeholder engagement and financial performance. For instance, Meznar, Nigh, and Kwok (1998) found a negative relationship between company performance and stakeholder management. They found that organisations that left the country due to pressure from stakeholders were punished on the stock market; highlighting that taking the moral path may not be the right action.

### **2.3.8 How do stakeholders influence the firm?**

Studies have attempted to explore how stakeholders can influence an organisation's reputation and legitimacy, or strategise against it (King & Soule, 2007). For example, Frooman (1999) identifies four types of stakeholder strategy: withholding, usage, direct, and indirect. Withholding strategies give stakeholders leverage if their threat of withdrawal is credible (for example, if they possess a specific resource), while usage tactics encompass ascribing stipulations to supply contacts. Direct influence refers to those strategies where the stakeholder can directly influence the flow of resources, whereas indirect methods involve influence through third parties. Similarly, O'Connell, Stephens, Betz, Shepard, and Hendry (2005) identify four direct and indirect mechanisms used by stakeholders to rationalise their relationship with the firm: internal subunits – often created by organisations to strategise and promote stakeholder goals; legalised participation – numerous laws mean that stakeholders can question organisational activities; legalised access to information – stakeholders are empowered through their legal access to critical information; direct stakeholder activism – stakeholders can actively sanction organisations, for example boycotts, lobbying, and media pressure (Sharma & Henriques, 2005).

Stakeholders' influence is determined by their legitimacy and power in relation to the organisation and the industry (Scott & Lane, 2000). For instance, Welcomer (2002) found that organisations were more likely to respond to stakeholders and build strong networks with them if they are perceived to have the potential to have a negative and positive influence over its practices and access to key resources. Eesley and Lenox

(2006, p. 779) support this, arguing that “stakeholder requests are likely to be met by targeted firms when stakeholder actions are taken by groups with greater power relative to the targeted firm and whose requests are more legitimate”.

Stakeholders can also gain leverage through strategic partnerships (King, 2008b). Exploring the Saturn automotive manufacturer, Kochan and Rubinstein (2000, p. 379) highlight how alliances between stakeholder groups were used to influence the firm. These coalitions are a catalyst for stakeholder groups to increase their persuasive power through a combined claim. Similarly, Zietsma and Winn (2008) argue that secondary stakeholders attempt to unite with other groups to enhance their position. Using the media is also an approach used by stakeholders. For example, King and Soule (2007) found that activist campaigns in the media were detrimental to the stock prices of U.S. firms between 1962 and 1990. However, they found that threat of embargoing a particular firm was negative as they state, “Boycotts do not make protests any more effective than they already are” (King & Soule, 2007, p. 435). Despite this, later work by King (2008a) did argue the significance of boycotts, suggesting that a quarter of embargoing strategies (if they gained national media attention) resulted in some form of concession by the target firm.

### **2.3.9 When will stakeholder groups assemble?**

While stakeholders can exert influence over a firm, the question of when has been debated (Husted, 1998). Firstly, stakeholders will assemble when they perceive they are being treated unfairly (Huse & Eide, 1996). Therefore, a stakeholder’s equity perception influences their propensity to act in a pro-social manner (Schrempf-Stirling, Bosse, & Harrison, 2013). Consequently, stakeholder engagement should involve open communication so that both factions can gain mutual understanding of each other’s positions and concerns (Foster & Jonker, 2005; Morsing & Schultz, 2006). Additionally, if decisions do not go in favour of specific interests, the open communication process allows for the reasoning behind such decisions to be better understood and accepted (Schrempf-Stirling et al., 2013).

Furthermore, certain groups will mobilise when there is a fundamental need to defend the collective interest (Rowley & Moldoveanu, 2003; Winn, 2001). For example, Wolfe and Putler (2002, p. 77) found that stakeholder groups will collectively assemble to communicate or protect a communal interest, arguing that “in certain circumstances

common self-interest can constitute a binding tie that results in a similar set of priorities on the part of group members” (Wolfe & Putler, 2002). Cordano, Frieze, and Ellis (2004) also found that attitudes differ between groups and that stakeholders have various associations. Therefore, stakeholders are not merely members of a designated group, instead as part of a complex network of mutual concerns. Ultimately, these differing attitudes mean that stakeholder groups will mobilise based on the overriding opinions manifested in the group.

Other factors which increase the likelihood of stakeholders mobilisation include: the larger the firm the more likely action will be perused; when stakeholder are overlooked in the decision-making process; it has a history of deception; firms which have a high level of exposure; and how aware they are of possible concerns (Butterfield et al., 2004; Hendry, 2006; Rowley & Berman, 2000). Hahn (2015) even suggests that stakeholder will take action even if there is no reward for their actions, proposing that, even if it means a cost to them, reciprocal stakeholders reward behaviours which they believe to be pro-social, while they will penalise actions which they deem to be socially damaging.

#### **2.3.10 Criticisms of stakeholder theory**

Despite its popularity, stakeholder theory has also attracted its critics. A common critique is the ambiguous and inexact nature of the concept (Miles, 2012), “owing in part to the ambiguity and breadth of the stakeholder theory itself” (Phillips et al., 2003p. 480). Therefore, Orts and Strudler (2009) maintain that the stakeholder concept can be seen as nearly meaningless and good for everyone and no one. Phillips and Reichart (2000, p. 185) reinforce this arguing that “the theory is often unable to distinguish those individuals and groups that are stakeholders from those that are not. This inability to distinguish stakeholders from non-stakeholders threatens the very meaningfulness of the term”. Additionally, Balmer, Fukukawa, and Gray (2007, p. 11) argue that stakeholder theory “remains rooted in the same atomistic individualism that pervades traditional economic theory”. This casts doubt over the assumption that the theory has been able to modify the traditional economic view of the organisation as exclusively focused upon the welfare of shareholders.

Another criticism is its naivety in that all stakeholders can be identified and treated equally (Hasnas, 1998; Kaler, 2006). Buchholz and Rosenthal (2005) support this, highlighting that the majority of definitions assume that they are separable entities, non-

aligned from each other, distinctly distinguishable, and that their concerns can be immersed into organisational decision-making process. Others cast doubt over the long-term effectiveness of the approach, arguing that stakeholder theory inaccurately assesses the environment as static and is often restricted to a specific timeframe (Key, 1999). McVea and Freeman (2005) also suggest that the existing application of stakeholder theory overemphasises stakeholder roles, rather than the relationships between stakeholders as actual people with real names and faces. Therefore, they suggest that more emphasis must be placed on humanising stakeholder relationships, giving them 'names and faces', as stakeholder collectives are groups of individuals where each member of deserves equal recognition as a human being (McVea & Freeman, 2005).

Others argue that stakeholder theory neglects the wider concerns related to power (Jones & Fleming, 2003). While stakeholder theory projects an image of managers and stakeholders working together in mutual and fair relationships, it overlooks issues related to supremacy and oppression embedded within the stakeholder network. Friedman and Miles (2006) also suggest that not all groups will profit from the approach, claiming that various groups may have an exclusive relationship with managers. Some opponents also suggest that globalisation and technological advancements now means that those that can "affect or be affected" by the organisation now means that everything and everyone now constitutes as a stakeholder (Phillips, 2003). Phillips (2003) argues that because anyone can now be perceived to be a stakeholder, the theory now becomes problematic as time restraints force managers to implement a simplified version of the approach.

Doubts have also been cast over the theory's normative strand, suggesting that deciding which stakeholders should be included based on moral assertions is problematic (Elms, Berman, & Wicks, 2002). For example, McCall (2002, p. 134) claims that even when stakeholder theory can allow for the detection of and transmission with the applicable groups, it "lacks any clear normative method for adjudicating between the inevitably competing interests". Furthermore, Treviño and Weaver (1999) argue that the normative strand is difficult to integrate into either instrumental or descriptive studies. Sundaram and Inkpen (2004, p. 370) support this claiming that "well-meaning sentiments are not guidelines for decision-making". Furthermore, Gioia (1999) argues that stakeholder theory is too theoretical and needs more studies which are grounded in data. Hasnas (2013, p. 56) maintains this asserting that "much of the academic debate about

stakeholder theory has not been over whether the theory is cogent, but over what the theory says and how it is being mischaracterized”.

Authors also contend that stakeholder theory plays into the hand of special interests and is an excuse for managerial opportunism. For example, according to Jensen (2002, p. 243), “With the widespread failure of centrally planned socialist and communist economies, those who wish to use nonmarket forces to reallocate wealth now see great opportunity in the playing field that stakeholder theory opens to them”. Therefore, by offering additional groups whom management can claim their activities profit, stakeholder theory makes it simple for them to participate in self-dealing and defend it, than if shareholder theory were their solitary commitment. As Phillips et al. (2003, p. 496) argue, “managerial opportunism still represents a threat” to stakeholder theory. Cennamo, Berrone, and Gomez-Mejia (2009) also cast doubt over claims that a stakeholder orientation assumes that managers behave morally responsibility. Instead, they suggest that stakeholder management does not entirely mean the organisation will act in the best interests of their stakeholders rather, “A stakeholder-committed organization may still act out of self-interest ... may also involve an opportunistic incentive on the side of management” (Cennamo et al., 2009, p. 492). This is reinforced by Sternberg (2000, p. 51) who argues that stakeholder theory “effectively destroys business accountability ... because a business that is accountable to all, is actually accountable to none”. However, Phillips et al. (2003) rejects such criticism, claiming that because stakeholder theory means managers have an obligation and responsibility to more groups, they have therefore more accountably and so are less likely to act in a self-serving manner.

A final criticism of stakeholder theory, especially its normative strand, is that it infringes upon the shareholder/manager relationship, which is grounded in the fiduciary responsibility managers have to shareholders (Sternberg, 2000). As famously argued by Friedman (1970, p. 33), “There is one and only one social responsibility of business ... to use its resources and engage in activities designed to increase its profits so long as it stays within the rules of the game, which is to say, engages in open and free competition without deception or fraud”. Therefore, the basic substitute to the stakeholder approach is that firms should function to wholly serve the needs of the shareholders as they are the proprietaries of the organisation. This is noted by Hasnas (1998, p. 23) who maintains that:

“[S]tockholders advance their money to business managers on the condition that it is used in accordance with their wishes. If managers accept the money on this condition and then proceed to spend it to accomplish social goals not authorized by the stockholders, they would be violating their agreement and spending other people’s money without their consent, which is wrong”.

Friedman and Miles (2006) suggest that the importance of this fiduciary relationship, which is based on trust, is centred on two main areas: property rights - the moral framework to capitalist society and should be safeguarded over other pecuniary claims and that tending to other stakeholders will lead to shareholder to suffer; and the contractual - the investments made by shareholders deserve to be protected as it is vulnerable to risk. Shareholders also have an enduring claim on the firm. It is also claimed that stakeholder theory possibly necessitates altering the legislative system and current laws (Van Buren, 1999). Humber (2002) suggests that this originates from the assumption that doing anything but amplifying shareholder wealth may not be entirely legal, meaning that legislation which encourages stakeholder interests to be considered must be deliberated.

#### **2.4 Stewardship and stakeholder combined: Creating custodianship**

This research aims to develop a custodianship behaviour model for the management of WHSs – i.e. to explore the potential for the development of custodianship behaviours among WHS managers and site stakeholders. This chapter has outlined the two theoretical perspectives that will be used to inform this research – stewardship and stakeholder theories. An internally oriented perspective on organisations, stewardship theory highlights that collectively minded, intrinsically motivated and committed managers can be developed through various situational and structural environments. On the other hand, stakeholder theory, which commonly focuses on the various interests outside an organisation, stresses the importance of firms managing the myriad of relationships who are influenced by their actions and who can impact its functioning. Through identifying potential stakeholders and employing numerous strategies, the theory emphasises that organisational performance can be enhanced through stakeholder management. Both theories have relevance to WHS management and underline potential avenues from which to address the aim of this research.

As discussed in sections 1.2 and 1.3, WHS management and protection is difficult (Aas et al., 2005; van der Aa et al., 2004) due to the complexities of the stakeholder networks



(Nicholas et al., 2009; Wall & Black, 2004) as differing roles and remits often influence their decisions (Millar, 2006; Xu & Dai, 2012). Additionally, WHSs are commonly administered by distinctive arrangements, with their overarching management typically consisting of various groups, with differing interests and remits coming together through goodwill and meeting on an interment and ad-hoc basis. Outside these management structures, WHSs are also characterised by numerous stakeholders which have the ability to impact on site administration (Chiabai et al., 2011). Fundamentally, management depends on different stakeholders and owners who are involved and not involved in site administration. Therefore, this context offers an appealing opportunity to explore sites which are managed through distinctive managerial set-ups and have been inscribed with an international recognition, yet require the engagement and cooperation of various interests to ensure their sustainability and conservation. Protecting World Heritage commonly involves the continuous interaction of these interests, making it exceptionally difficult for anyone organisation or group to function in seclusion. Such an issue must be reflected upon within the administration of any site which spans large geographical boundaries. Additionally, the multiple ownership patterns which characterises many of the WHSs underscores the complexity of the context and offers an appealing setting from which this theoretical discussion is relevant.

While elements of stakeholder theory have been used to address such challenges (see sections 1.3.1 and 1.4), stewardship theory offers an additional perspective which not simply encourages inclusion and support, but augments and supports the creation of custodianship behaviours which endure through time. Custodianship behaviours therefore refer to individuals who are collectively minded, pro-organisational, and value the long-term protection and sustainability of the WHS and the group. As Nicholas et al. (2009, p. 407) argue, “Whilst stakeholder theory underscores the need to involve all impacted groups and individuals, it also presents a challenge as involvement of large numbers of stakeholders can complicate the decision-making process given the degree of diverse and conflicting goals”.

Elements of stewardship and stakeholder theories provide an opportunity to explore the potential for a theoretical foundation for nurturing custodianship behaviours among WHS managers and site stakeholders. Stewardship theory, which focuses on the internal workings of an organisation, assumes that managers will make decisions in the best

interest of the collective, and are intrinsically motivated, trustworthy, highly committed and attached to the organisation; a contrast to the self-interested manager. Additionally, stewardship theory's optimistic postulations about managers' motives, which are highly committed to the organisation and make decisions based on the collective, complement stakeholder theory's elementary supposition that the function of the manager is to balance stakeholder concerns in the best interest of the organisation. Furthermore, reviewing stakeholder theory, Laplume, Sonpar, and Litz (2008) highlight the complementary nature of both theories and suggest amalgamation of the two could be a possibility.

While both theories are rooted in corporate thinking, they have relevance to heritage management. Stewardships proposition that managers as stewards are collectively centred and will make decisions based on the benefit of the organisation and stakeholders fit well within the context of WHS management. Elements of stewardship, such as the development of a collective environment, the empowerment of individuals, open communication, the fostering of trust and long-term relationships (Hernandez, 2008), if successfully submersed into the managerial framework of such places, could not only result in a more unified approach to site management but could produce a more cohesive environment for the successful protection of World Heritage. Such factors have been endorsed by previous studies on the management of WHSs and cultural heritage sites which have explored ways in which differing stakeholders can become more involved both within and outside administrative approaches (Aas et al., 2005; Winter, 2004). For example, the successful management of WHSs relies on collaboration and is pursued through mechanisms such as open dialogue, involvement and engagement structures, and empowerment - all of which are central underpinnings to creating responsible managers according to stewardship theory. Derived from the literature review, Table 10 signifies and explains the key themes which characterise stewardship and stakeholder theory which are relevant to the management of WHS.

Theme	Description
Situational and structural factors	<ul style="list-style-type: none"> <li>• Influences individuals to become agents or stewards, i.e. the situation an individual finds themselves in has the ability to develop the psychological underpinnings which are typical of a steward.</li> <li>• Structural situation in which they find themselves in should facilitate effective action.</li> <li>• Individuals in an involvement-orientated situation rather than in</li> </ul>

	<p>a control-rooted situation are more likely to become a steward.</p> <ul style="list-style-type: none"> <li>• Obtained through the organisation embracing a high-commitment management philosophy.</li> <li>• Requires an environment which promotes fairness, open communication, trust, training, and team-working.</li> </ul>
Stakeholder Engagement	<ul style="list-style-type: none"> <li>• Organisations employ various, and at times continuous, strategies and techniques to engage relevant stakeholders for the purpose of achieving accepted outcomes, building relationships, and reinforcing support for their mission and purpose.</li> <li>• Strategies include representation, raising awareness and reputation management, and support.</li> </ul>
Psychological underpinnings	<ul style="list-style-type: none"> <li>• Psychological factors signify the personal characteristics that could have an influence on an individual's behaviour.</li> <li>• Stewardship behaviours are influenced by a cognitive process that frames decisions through an other-regarding perspective, and long-term orientation, and through affective feelings of association with others.</li> <li>• Individuals who are intrinsically motivated, who have high identification with their organisation, and are high in value commitment are more likely to become stewards.</li> <li>• Organisations should create environments (based on the favourable situational/structural elements highlighted above) so that individuals develop such outlooks. Therefore, they are a result of the environment an individual finds themselves in.</li> </ul>

**Table 10: Stewardship and stakeholder themes**

As the aim of this research is to develop a custodianship behaviour model (see figure 21) for the management of WHSs, Table 10 highlights the key themes of the two theories which are pertinent to this aim. The themes of situational and structural factors and psychological underpinnings are identified to be important avenues from which custodianship behaviours can be nurtured and activated among managers. Additionally, the theme of engagement is central underpinning to stakeholder theory as a means of organisations and their managers generating responsiveness and backing from their stakeholders. Therefore, themes act as the foundation for the study's investigation. The reasoning for this will be discussed in the subsequent paragraphs.

As discussed in section 1.2.3 and 1.3, WHS management commonly relies on different organisations and interests, each with their own various roles, remits and motivations, coming together to create a management plan and a suitable administrative arrangement. For instance, commonly in the UK, the management of WHSs is characterised by an overarching managerial group who have come together predominantly through goodwill. Therefore, these interests are the agents/managers who are responsible for the successful management and protection of a given site for its numerous principles –

property owners, businesses, communities, public/private bodies, and society as a whole. These management groups often contain and represent different stakeholders, ranging from public and private bodies, local communities, landowners and businesses, and so self-interest and protection of their own interests are somewhat inevitable and can cause substantial challenges (Bell, 2013; Millar, 2006; Xu & Dai, 2012). Therefore, custodianship behaviours, if they can be inherent within the managerial groups which come together to administer WHSs, would seem beneficial.

Furthermore, as these leading management groups are responsible for WHS management, they provide the starting point for which custodianship behaviours could be established. As Table 10 highlights, the embracement of specific situational and structural factors (Caldwell et al., 2008; Davis et al., 1997) are the primary steps necessary in nurturing environments where collectively minded managers ensue. Therefore, creating such an atmosphere in the internal management environment of a WHS's administrative approach could lead to the possibility of representatives developing the psychological antecedents which are suggested to be characteristic of a custodian. For the purpose of this research, those management structures in place at the WHS and managers within it are considered the internal environment. Simply, this refers to the conditions, entities, elements, and procures within an organisation (such as culture, leadership styles, and organisational communications) that effects its actions, conduct and especially the behaviour of the employees.

The development of custodians and/or custodianship behaviours must also move beyond those management groups which convene to manage a particular site. The external environment of the management approach in place at WHSs are often characterised by numerous stakeholders are not be immersed in the management process/group, are disregarded by managers or are disengaged from the actuality and importance of their surroundings (Harrison, 2004a; van der Aa et al., 2004). However, awareness and support from these external interests is important as their behaviours and activities can influence - good or bad - the management and protection of a site. (Aas et al., 2005; Millar, 2006). As Table 10 outlines, the theme of engagement is a means of appealing and involving stakeholders to have more attentiveness to their surroundings, and have a more participatory and supportive role within site management. Through such engagement and heightened participation, this could lead to the nurturing of

custodianship behaviours among these stakeholders if the support and commitment can be enhanced.

Despite this, the ability to generate custodianship behaviours outside the internal workings of an organisation, or in this case the particular management structure of a WHS, may be difficult (Johnson, 2011). However, through engagement there could be the possibility to develop the psychological antecedents which are suggested to be characteristic of a custodian (Huse & Eide, 1996; Shen, 2003). Between stakeholder and stewardship theory there is some consistent overlap in how support and trust is generated among individuals. For example, through heightened participation, collaboration and building a sense of responsibility (Huse & Eide, 1996; Shen, 2003), open communication (Foster & Jonker, 2005; Walters et al., 2015); and augmenting the values of the organisation (Davis et al., 1997; Weber & Marley, 2012). Therefore, the possibility to create of custodianship behaviours through engagement seems conceivable if conducted effectively and is long-term rather than in an unplanned and inconsistent manner.

As a result of this literature review, a study exploring the themes which characterise stewardship and stakeholder theories will be undertaken. Within the context of WHS management, perspectives on stakeholders have been well established, with the use of stakeholder theory being applied, however sparsely. The use of stewardship theory within the context is absent and through combining it with stakeholder perspectives it is hoped that this will offer illuminating input into developing custodianship behaviours within the stakeholder networks of such places. The subsequent chapter will outline the methodological approach that will be employed to undertake this research.

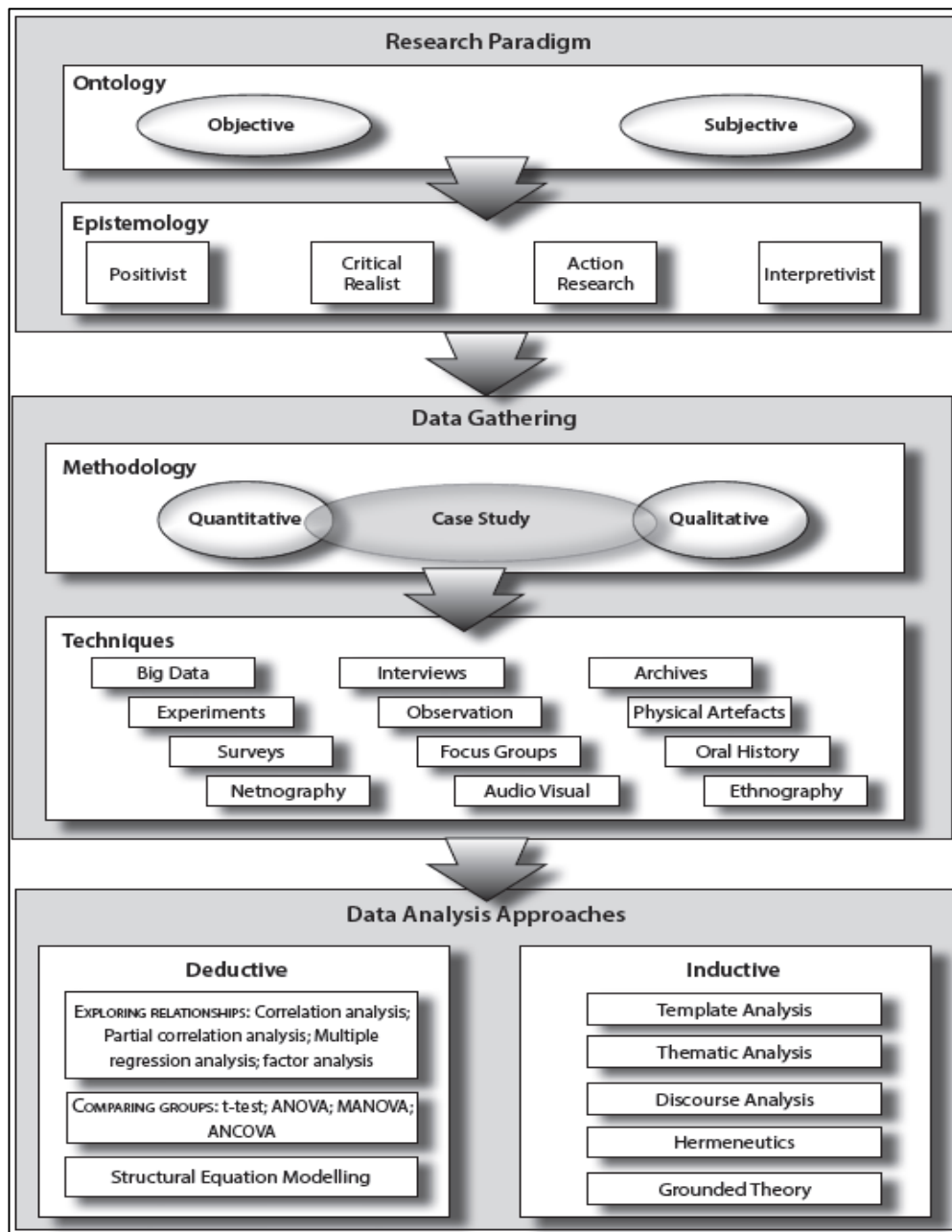
### **3 Methodology**

#### **3.1 Introduction**

This chapter will outline and validate the methodological approach for the proposed study. The following sections will encompass the central methodological themes of this research and include: philosophical positioning, case study research, data collection methods, data analysis, and ethics. The chapter will begin with a discussion on the philosophical positioning of this research.

#### **3.2 Research Paradigm**

Research philosophy can be defined as the development of knowledge and the nature of that knowledge (Saunders, Lewis, & Thornhill, 2012). The significance of embracing and identifying the philosophical assumptions positioning research has been widely recognised (Crotty, 1998), underpinned by the view that failure to consider such issues can critically influence the value of research (Bryman & Bell, 2015). Easterby-Smith, Thorpe, and Jackson (2012) suggest that there are three main reasons why considering philosophical issues are important in research. Firstly, it can aid in instructing research designs. This does not simply entail what manner of evidence is needed and how it is collected and understood, but also how this will offer good answers to the objectives of the study. Secondly, it can help distinguish which designs will and won't be suitable for their enquiry. This will also help circumvent any unproductive undertakings. Lastly, it can help researchers recognise and initiate designs which may be unfamiliar to their previous experiences (Easterby-Smith et al., 2012). However, within philosophical and methodological debates, there is dispute and confusion of how concepts and terminology is employed (Crotty, 1998). With this in mind, and in an attempt to avert such misperception, the research strategy and philosophy used in this research will be based on the approach outlined by O'Gorman and MacIntosh (2015) and is shown in Figure 3.



**Figure 3: The research strategy process**  
**Taken From: O'Gorman and MacIntosh (2015, p. 51)**

As Figure 3 illustrates, the initial phase of the research strategy focuses on the research paradigm and philosophical considerations. The term ‘paradigm’ was first coined by Thomas Kuhn in his 1970 seminal work on ‘The Structure of Scientific Revolution’ as a means of describing the boundaries in which established scientific communities frame their work. More specifically, Kuhn (1970, p. 175) describes a paradigm as “a set of values and techniques which is shared by members of a scientific community, which acts as a guide or map, dictating the kinds of problems scientists should address and the types of explanations that are acceptable to them”. Plainly, a paradigm is a series of prepositions that describe how the world is perceived, and encompasses a worldview, a means of breaking down the intricacies of the real world, informing investigators of

what is genuine and acceptable. However, Kuhn (1970) recognises that he does not believe that a research paradigm is the solitary resolution to any social problem. Instead, a paradigm guides and impounds research into a framework in which lines of enquiry and events can be arranged and analysed. Therefore, the paradigm a researcher embraces encompasses significant assumptions about the way in which they perceive the world. Within social science, there are two philosophical concepts which shape the fundamental nature of thinking, knowledge, reality and being (Blaikie, 2009; Denzin & Lincoln, 2000). These are ontology (the nature of reality) and epistemology (what constitutes acceptable knowledge) (Bryman & Bell, 2015). Both perspectives will be discussed in the following sections.

### **3.2.1 Ontology**

The nature of any study undertaken is shaped, either explicitly or implicitly, by the researcher's beliefs about 'what is real' and how it can be investigated (Denzin & Lincoln, 2000). Simply, ontology is concerned with how one perceives the world and the nature of one's reality. Bryman and Bell (2015, p. 32) indicate that ontology is concerned with "whether social entities can and should be considered objective entities that have a reality external to social actors, or whether they can and should be considered social constructions built up from the perceptions and actions of social actors". As Figure 3 illustrates, these positions are commonly referred to as objectivism or subjectivism.

Objectivism denotes the standpoint that social entities exist in reality external to social actors. Therefore, objectivism maintains that "meaning, and therefore meaningful reality, exists as such apart from the operation of any consciousness" (Crotty, 1998, p. 8). Therefore, objectivism suggests that social phenomena confront us as external truths that are beyond our influence and grasp. As such, reality and its meaning subsists autonomously of human consciousness as something that endures 'out there' waiting to be exposed by an objective observer and exhibited as logical truth (Denzin & Lincoln, 2000). While objectivism presupposes that social and natural reality has an independent existence preceding human reasoning, subjectivist/constructionist ontology supposes that what we take as reality is a product of our own cognitive processes. As Crotty (1998, p. 8) indicates, "there is no objective truth waiting for us to discover it. Truth, or meaning, comes into existence in and out of our engagement with the realities in our world. There is no meaning without mind. Meaning is not discovered, but constructed".



Therefore, in this perception of knowledge, different individuals might build meaning in contrary ways, even in regards to the same event and/or experience. Within this, social phenomena and categories are not only fashioned through social interaction but they are in a continuous position of modification (Bryman & Bell, 2015). What objectivism and subjectivism/constructionism highlight is that we all have profoundly ingrained ontological assumptions which will influence our perceptions of what is real and whether we ascribe reality to one group of ideas or another. If such underlying beliefs are not recognised and reflected upon, the investigator may be blind to particular facets of the research or phenomena as they are implicitly supposed, and as a result not exposed to interrogation, reflection and debate (Easterby-Smith et al., 2012). Whilst deliberating that divergent understandings exist concerning what epitomises reality, a further query resides in how that reality is determined, and what comprises knowledge of that reality. This guides the researcher to questions surrounding epistemology.

### **3.2.2 Epistemology**

Epistemology deliberates views about the most suitable means of investigating the nature of the world and “what is knowledge and what are the sources and limits of knowledge” (Eriksson & Kovalainen, 2008, p. 13). In other words, epistemology is concerned with the nature of knowledge and what is (or should be) regarded as acceptable knowledge in a discipline (Chia, 2002; Nagel, 2014). Hatch and Cunliffe (2006) encapsulate epistemology as “knowing what you can know” and develop this by inquiring how knowledge is produced, what standards distinguish reliable and unreliable information, and how reality should be illustrated and explained. As Figure 3 illuminates, ontology and epistemology have an inter-dependent relationship. As Crotty (1998) highlights, the ontological views and position of the researcher may influence their epistemological choices or assumptions described. Within management research, two main schools of thought dominate this discussion; positivism and interpretivism. Both will be discussed in the following sections.

### **3.2.3 Positivism**

Within management studies, positivism has been a popular and traditional epistemological position guiding research (Guba & Lincoln, 1998). Emerging from the natural sciences, positivism rests on the belief that the social world exists externally and that its properties should be measured through objective techniques (Saunders et al.,

2012) Therefore, its central claim is that there is one single objective reality that can only be observed and measured without prejudice by means of standardised instruments. An early advocate of positivism, Auguste Comte stated that “all good intellects have repeated, since Bacon’s time, that there can be no real knowledge but that which is based on observable facts” (Dillon, 2009, p. 19). This statement highlights two notions that are fundamental to positivism; reality is objective and external (ontology), and that understanding is only meaningful if it is grounded on observations of this external reality (epistemology). Therefore, this perspective has significant repercussions for the relationship between theory and observations, and how research is undertaken (Blumberg, Cooper, & Schindler, 2011).

Research following the positivist perspective would commence with postulating fundamental laws and deducting what forms of observations validate or reject the theoretic explorations of the hypotheses. The study is then undertaken to examine if observations of the world actually correspond to the derived fundamental laws and to evaluate the extent to which the discovered casualties can be universally harnessed (Blaikie, 2009). Researchers embracing the positivist tradition deem that observable truths are objective because they are external (Blumberg et al., 2011), specifically, as individuals we cannot affect them, and so research is accomplished value-free (Lincoln & Guba, 1985). Particularly, information does not change because it is being observed. Subsequently, this infers that different investigators researching the same social phenomenon would attain equivalent truths explaining the social world. Hence for positivists, the main purpose is to obtain universal truth – a rationalisation that is eternally factual as long as specific conditions are maintained. Therefore, the positivist tradition follows a deductive approach to measuring and testing theories in quantitative fashion (Easterby-Smith et al., 2012). Deductive reasoning uses a top-down approach where empirical data is used to either confirm or reject a theory and the hypothesis.

While the positivist perspective has gained popularity, there have been doubts over the application and potency of this scientific approach. According to Burns and Burns (2008, p. 17), the positivist standpoint is not easily applied in “human behavioural sciences due to the ability of humans to reflect on their own behaviour and to seek meaning and purpose in their own and others’ behaviour” – in other words, humans can think. For example, individuals are liable to answer innately to aspects of their environment as a function of their personal historical experiences and outlooks, desires

and disposition of the moment. Therefore, because humans, managerial environments and events are more intricate than the static matter investigated in psychical sciences, substantial difficulties are faced by the researcher in business and social science (Denzin & Lincoln, 2000). This challenge stems from the vast array of environmental influences which effect individuals, with each person individually understanding, making sense and reacting to these in active and diverging ways. In response to these considerations, a competing epistemological standpoint has emerged and become a central philosophical position within management research – this is known as interpretivism.

### **3.2.4 Interpretivism**

Researchers who promote the interpretivism standpoint argue there is no universal truth (Blaikie, 2009). Unlike positivists, interpretivists embrace the belief that the social world cannot be comprehended by utilising research principles accepted from the natural sciences (Bryman & Bell, 2015). Instead, they suggest that social sciences necessitate a different philosophical approach. This argument is grounded in the belief that simple fundamental laws are inadequate to fully apprehend the intricacies of social experiences (Easterby-Smith et al., 2012). As Blumberg et al. (2011, p. 17) also highlight, the positivists claim “that objective observations of the social world is impossible, as the social world has a meaning for human beings and is constructed by intentional behaviour and actions”. Furthermore, Crotty (1998, p. 67) indicates, interpretivism looks for “culturally derived and historically situated interpretations of the social life-world”.

Consequently, interpretivism infers two fundamental notions: (1) the social world is perceived through understanding what meanings individuals give to it and interpreting these meanings from their perspective; (2) social phenomena is only understandable through observing the totality. Knowledge is therefore created and theory constructed through developing ideas inducted from the observed and interpreted social constructions. As such, interpretivism lends itself to inductive research reasoning, where data is regarded as the main driver of the research project in order to build theory or unearth new insights. Therefore, amassing and quantifying truths will not reveal the essence of a social phenomenon. Instead, studies need to investigate the reasons why individuals have distinct experiences and to comprehend in what way these differences result in the different interpretations and meanings people give to the social world (Denzin & Lincoln, 2000). This necessitates that the investigator must themselves

submerge into the process of subjective understanding, recognising the particular curiosities and motives of those participating (Lincoln & Guba, 1985). Thus, because they are the product of various conditions constructed by numerous individuals, social phenomena are characterised by elevated intensities of complexity and are frequently distinctive. This has led to several authors suggesting that the generalisability of findings within this perspective is less significant (Blumberg et al., 2011; Burns & Burns, 2008). For example, the world which encapsulates the organisational environment is constantly changing and what appeared to be reasonable a short time ago may no longer be relevant – therefore, in a world in continual flux, generalisability can be dubious.

The importance placed on making sense of what is occurring is suggested to often result in the researcher engendering unanticipated conclusions beyond existing universal scientific understanding. Therefore, interpretivists strive to understand subjective realities and to propose interpretative justifications, which are meaningful for members of the research. Furthermore, within this epistemological stance, the researcher cannot be divorced from the research process. Instead, the investigator occupies a central role in the research, actively cooperating with the partakers to tackle everyday challenges in a particular context, with the objective to explore and discover viable resolutions to the difficulty (Saunders et al., 2012). This perspective also assumes that a study cannot be value-free. As researchers present an understanding of how other individuals construe the social world, the researchers' interpretation is also socially constructed, exposing their views and motivations (Chia, 2002). As Blumberg et al., (2008, p.18) emphasise, “human interests not only channel our thinking, but also guide how we investigate the world (i.e. what questions we ask) and how we construct our knowledge (i.e. how we formulate the answers found)”.

### **3.2.5 Philosophical stance of this research**

As the previous sections highlighted, the philosophical assumptions positioning research have a significant influence of the design, understandings and conclusions of any investigation. Therefore, it is vital to comprehend and debate philosophical assumptions to ensure that the research approaches adopted by the investigator are consistent to the nature and objectives of their study. If this is not attained then the researcher may embrace methodological choices which are unsuited within their philosophical position, and so running the risk of weakening the study's potency

through a lack of coherence (Denzin & Lincoln, 2000). Such considerations also confirm that the researcher's predispositions are revealed, appreciated, and minimalised. Table 11 clarifies the underlying assumptions which reside within the positivist and interpretivist stances.

<b>Assumption</b>	<b>Positivism</b>	<b>Interpretivism</b>
The nature of reality (Ontology)	There is one objective reality with universal laws and causality.	A subjective world where individuals experience social and physical reality in diverse ways
Human interest	The researcher remains divorced from the study's subjects.	The researcher is an active participant within the research
The position of values	Objectivity is perused; with value free findings being the target.	Objectivity is unfeasible and disregarded. There cannot be value free findings
The research process	The research process is thorough, and unyielding, and guided by hypothesis testing.	The research process is flexible and emerges from the information provided by the participants.
Generalisation	Employs large samples from which to generalise to the population.	Generalisability of findings is less important.
Methods	Includes: experimental investigations, structured interviews and questionnaires, the re-analysis of secondary information.	Includes: ethnography, participant observation; focus groups, semi-structured and in-depth interviews.

**Table 11: Main assumptions of the positivist and interpretivist paradigms**

As Table 11 emphasises, these philosophical traditions embrace contradicting perspectives on how reality and knowledge are comprehended and understood. Reflecting on these diverging stances, this research will adopt an interpretivist position. The aim of this research is to develop a custodianship behaviour model (see figure 21) for the management of WHSs. Unlike positivist research, this study does not intend to scientifically test theory through the use of experiments or hypothesis, instead will rely on qualitative approaches to gathering data. The information gathered for this study will focus on: semi-structured interviews with individuals who represent different organisations or groups within the World Heritage management environment; documentation; and psychical artefacts. Given that WHS management requires numerous individuals to come together from differing organisational and personal interests, the use of more interpretative forms of data gathering and understanding is necessary to discover and comprehend the individual and collective sense of meaning

regarding the environment they operate (Cameron & Price, 2009). The interpretivist paradigm, on which the qualitative approach to research is based, allows for such meanings to be discovered through expressive data not communicated in quantitative information about beliefs, emotions, values and motives that inspire actions at an individual level (Burns & Burns, 2008).

Through the different interpretations collected from participants, this research is concerned in the reasoning and influences which develop and constrain the development of custodianship behaviours rather than on distinguishing causal effects or rationalising underlying mechanisms. Indeed, the objectives for this research (see section 1.4.2) focus on asking exploratory questions. Therefore, rather than verifying or invalidating hypotheses, this research focuses more towards interpretivism in that it aims to recognise, explore and enlighten how all the elements in a specific social setting (the World Heritage managerial environment) are connected and co-dependent (Easterby-Smith et al., 2012). Also, this research concentrates on theory building rather than theory testing which is at the heart of positivism (Crotty, 1998). In line with the interpretivist perspective, this study develops theory which is data-driven and materialises as part of the research process, developing from the evidence as it is gathered.

Since interpretivism places great emphasis on communication and language (Burns & Burns, 2008), this approach seems particularly suited to the focus of this particular study. In this study, the researcher sees themselves as a fundamental participant in the research process and the evidence gathered. Given that semi-structured interviews are the central approach to the data gathering stage, and that such a process allows for deeper probing and the generation of rich data from the personal interactions with the participants (Burns & Burns, 2008), the researcher accepts that objectivity is unfeasible and that findings cannot be value free. Moreover, the interpretivist stance places emphasises on the researcher as a vital part of the data. Indeed, given that the data collection and analysis of the interviews and documentation will require dissection and sense-making from the researcher, the presented evidence will not be value free and hold some levels of subjective understanding (Eriksson & Kovalainen, 2008).

Furthermore, a flexible research design, rather than rigid and unyielding, appears more appealing to the research in question. For example, typically the interpretivist researcher

enters the field with a certain level of preceding understanding of the studies context, however accepts that this is inadequate to create inflexible research procedures because of the erratic, complicated and multiple natures of what is understood to be reality (Crotty, 1998). The researcher is aware that during the data gathering process the interactions with different participants or forms of evidence may unearth lines of enquiry which could be used to inform or enhance the study and any following inquiries – in other words, moulding and developing the study as it progresses. The acceptance of such a collective and evolving tactic is coherent with the interpretivist outlook that individuals have the aptitude to adapt, and that nobody can obtain preceding knowledge of context and time bound social realities (Denzin & Lincoln, 2000).

### **3.3 Methodology: case study research**

The previous section explained how philosophical considerations informed this research. This section will discuss the methodology for this study, considering issues such as research design, data collection and analysis techniques. Given the philosophical position of this research, a qualitative methodology is deemed most appropriate. More specifically, this research will employ a case study approach to addressing the aims and objectives of the inquiry, supported through various data collection techniques which will also be discussed later in the chapter. The following section will discuss, and justify, the use a case study approach for this research.

#### **3.3.1 Defining a case study**

Case studies, which can be singular or multiple, can be defined as “a phenomenon for which we report and interpret only a single measure on any pertinent variable” (Eckstein, 1975, p. 85). Hartley (2004, p. 323) extends this, describing a case study as a “detailed investigation, often with data collected over a period of time, of one or more organizations, or groups within organizations, with a view to providing an analysis of context and processes involved in the phenomenon under investigation”. Generally, definitions concur that case studies can achieve a range of purposes, which include, offering an extensive description of a phenomenon, and testing and building theory.

Case studies have become increasingly popular within organisational research (Anand, Gardner, & Morris, 2007). Examples include: parting ceremonies during organisational death (Harris & Sutton, 1986); changing organisational identities (Clark, Gioia,

Ketchen, & Thomas, 2010); and acquisitive growth strategies (Hitt, Harrison, Ireland, & Best, 1998). Case studies often focus on one or more specific organisations, or individuals and groups functioning within the firm, for example, customers, departments, suppliers, and/or employees. Typically, they involve a comprehensive investigation, regularly with information culminated over a phase of time, of phenomena, within their environment (Hartley, 2004). The fundamental aspiration is to generate an analysis of the context and processes which enlighten the theoretical questions being researched (Hempel & Martinsons, 2009).

### **3.3.2 Why case studies**

The decision to embrace a case study approach was undertaken through a reflection of its potential benefits and limitations. Firstly, case studies are an ideal instrument in developing contributions to knowledge in relation to organisational, individual, social, political and group phenomena (Fitzgerald, Ferlie, McGivern, & Buchanan, 2012). Therefore, they are excellent for exploring novel behaviours or procedures that are in adequately understood (Lawrence, Malhotra, & Morris, 2012). As such, case studies are ideal for contributions to providing description, theory building and theory testing (Mattarelli & Tagliaventi, 2012). As Stake (1995, p. 245) suggests, “case studies are of value in refining theory and suggesting complexities for further investigation”. As theory building is the main intention of this research, a case study approach appears to be a suitable methodological means to embrace.

Despite their strengths, case studies have limitations. Historically, they have been criticised for absence of rigour, careless exaction, and the subjectivity of the researcher to adversely influence the study’s conclusions (Hedges, 1985; Lincoln & Guba, 1985). Therefore, it is assumed that case studies offer a limited foundation in which to provide scientific generalisations (Keil, Autio, & George, 2008). However, several authors have challenged the above assumptions (Miles & Huberman, 1994), suggesting more structured and reliable approaches to case study research (Druskat & Wheeler, 2003; Yin, 1994).

Furthermore, authors have also refuted the claim of case studies’ ability to provide generalisations (Bresman, 2013; Santos & Eisenhardt, 2009), instead suggesting that theoretical generalisability can be conceived by organising and combining evidence from multiple cases (Meyer, 2001a). Additionally, Stake (1995), from an interpretivist



perspective, suggests that case study researchers make naturalistic generalisations. The opposite of the deductive reasoning, naturalistic generalisations develop by identifying the similarities of issues and objects in and out of context and by sensing the natural covariations of happenings (Stake, 1995). Lastly, a frequent criticism is that case studies take too long and they produce mass amounts of information which is difficult to manage and construct into a meaningful narrative (Dul & Hak, 2008; Hartley, 2004). However, Yin (2009) refutes this suggesting there is no reason for any case study to be overly long, while others imply that large amounts of information is unproblematic if appropriate tactics to organising and managing the data is embraced.

When choosing to use a case study the decision will be dependent on a number of conditions which determine the best research methodology: the type of research questions posed, the extent of control an investigator has over actual behavioural events, and the degree of focus on contemporary as opposed to historical events. Table 12 highlights these conditions and how each is related to specific methods.

<b>Approach</b>	<b>Type of research question posed</b>	<b>Necessitates control of behavioural events</b>	<b>Centres on contemporary events?</b>
Experiment	How, why?	Yes	Yes
Survey	Who, what, where, how many, how much?	No	Yes
Archival analysis	Who, what, where, how many, how much?	No	Yes/no
History	How, why?	No	No
Case study	How, why, what?	No	Yes

**Table 12: Methodological approaches**

**Source: Modified from Klenke (2008) and Yin (2009)**

Research questions are an important issue when establishing the methodological style (Green, 2011). Commonly, these queries can be categorised into: ‘who’ ‘what’ ‘where’ ‘how’ and ‘why’ questions. As Table 12 illustrates, case studies are concerned with answering questions focusing on ‘how’ and ‘why’. As Yin (1995, p. 9) argues, case study research is also useful when “a how or why question is being asked about a contemporary set of events over which the investigator has little or no control”. However, it must be noted that ‘what’ questions are justifiable when an exploratory study is perused and so can be used by any technique (Klenke, 2008). Additionally, case studies are also preferred in investigating contemporary events, when the relevant behaviours cannot be influenced (Yin, 1994, 2009).

This research meets the three criteria highlighted in Table 12 and therefore emphasises the use of a case study approach. Firstly, the research objectives used to guide this study (as shown in Section 1.4.2) reflect queries concerning ‘how’, while due to the exploratory nature of the study ‘what’ questions are also pertinent. Secondly, the researcher, in line with the interpretivist research, has no control over behavioural events or desire to do so. Unlike experimental research, there is no attempt to manipulate the participant’s behaviours. Lastly, this study focuses on contemporary events, and unlike archival research is able to interview and observe important players.

### 3.3.3 Case study research design

Research design is a fundamental element of empirical work and refers to the overarching outline which aspires to deal with some of the main problems within academic investigations (Easterby-Smith et al., 2012). These include: the questions that will be addressed, what information is significant, the choice of data to collect, and how to analyse the evidence. An often cited difficulty of case studies is the lack of explicit conditions which support the researcher (Dul & Hak, 2008). Instead, researchers are entrusted to deliberate a few, heavily cited frameworks within academia; Yin (2009), Eisenhardt (1989b), and Stake (1995). Prior to committing to a specific research design for this study, a discussion of these key approaches must be deliberated.

Yin’s (1994, 2009) work is possibly the most cited case methodology. Like experimental research, Yin (1994, 2009) recommends propositions for guiding researchers, highlighting the positivist nature of his procedure. He also regards case studies as a complete methodology, having five important elements which lay the foundations for a successful research design. Each is briefly explained in Table 13:

<b>Questions</b>	Reviewing the literature focuses the research, allowing researchers to generate areas of interest which can be explored in the context of the proposed case study.
<b>Propositions</b>	Express why a particular relationship or behaviour might be observed and help narrow the focus of the research. Some studies, for legitimate reasons, will not have any propositions (for example, exploratory research).
<b>Unit of analysis</b>	Identify the major entity that is to be researched; influenced by the formulation of the research questions. The unit of analysis can vary from an individual, organisation, department or place.
<b>Linking data to propositions</b>	Matching data to rival patterns that can be derived from the propositions. This can be achieved through pattern matching, explanation building, logic models, cross-case analysis, and time-series

	analysis.
<b>Criteria for interpreting findings</b>	Determining how much data is required to permit a certain interpretation, pattern matching should highlight that the information correlates some more adequately than others.

**Table 13: Elements for a successful research design**

The strength of Yin's (1994, 2009) approach not only resides in its ability to offer the researcher a detailed foundation to conduct case study research, but signifies the importance of theory development and testing. Yin (1994, 2009) argues that replication logic is the basis for selecting multiple cases. Therefore, cases are selected so that they either predict similar results (literal replication) or predict contrasting results for anticipatable reasons (theoretical replication). Through replication logic, analytical generalisation can be recognised, as previously developed theory is used as a framework with which to evaluate the empirical results of the study. As Yin (1994, p. 31) claims: "If two or more cases are shown to support the same theory, replication may be claimed". This argument counters the traditional positivist claims that case studies are vulnerable to insubstantial designs and rarely permit for generalisations.

Yin (2009) further argues that the strength of case study research designs can be judged on logical tests. These focus on areas of construct validity, internal validity, external validity, and reliability. Yin (1994, 2009) also emphasises that the data collection stage requires the utilisation of multiple sources of evidence and offers strategies to ensure the reliability of the task, such as devising and developing a case protocol and database. Such strategies are used not only to counter a common argument that case studies amass massive amounts of evidence which is difficult to manage (Saunders et al., 2012), but to ensure that the researcher resides within the parameters of the proposed study. While Yin's (1994, 2009) writings have been criticised for its rather positivist approach (Stake, 1995), its coherent strategy for case study design has become popular among both qualitative and quantitative researchers within the managerial domain (Anand et al., 2007; Clark et al., 2010).

A slightly different view is proposed by Eisenhardt (1989b) who defines the case study as "research strategy which focuses on understanding the dynamics present within single settings". Eisenhardt's (1989b) research strategy is highlighted in the Table 14.

<b>Step</b>	<b>Activity</b>	<b>Reason</b>
Getting started	Definition of research questions Possibly a priori constructs	Focuses efforts. Provides better grounding of construct measures.
Selecting cases	Neither theory nor hypotheses Specified population Theoretical, not random, sampling	Retains theoretical flexibility. Constrains extraneous variation and sharpens external validity. Focus is on theoretically useful cases.
Crafting instruments and protocols	Multiple data collection methods Qualitative and Quantitative data combined Multiple investigators	Strengthens grounding of theory by triangulation Synergetic view of evidence Fosters divergent perspectives and strengthens grounding
Entering the field	Overlap data collection and analysis, including field notes Flexible and opportunistic data collection methods	Speeds analyses and reveals helpful adjustments to the data collection Allows investigators to take advantage of emergent themes and unique case features
Analysing data	Within-case analysis Cross-case pattern search using divergent techniques	Gains familiarity with data and preliminary theory generation Forces investigators to look beyond initial impressions and see evidence through multiple lenses
Shaping hypotheses	Iterative tabulation of evidence for each construct Replication, not sampling, logic across cases Search evidence for 'why'	Sharpens construct definition, validity and measurability Confirms, extends, and sharpens theory Builds internal validity
Enfolding literature	Comparison with conflicting literature Comparison with similar literature	Builds internal validity, raises theoretical level, and sharpens construct definitions Sharpens generalisability and improves construct definition
Reaching closure	Theoretical saturation when possible	Ends process when marginal improvement becomes small

**Table 14: Process of building theory from case studies**

**Source: Adapted from Eisenhardt (1989b, p. 533)**

This strategy generally rests between Yin's thinking and that of a Grounded Theory perspective. Unlike Yin (1994, 2009), who specifies the use of propositions, Eisenhardt (1989b, p. 534) prefers to advance with "the ideal of no theory under consideration and no hypotheses to test ... attempting to approach this ideal is important because preordained theoretical perspectives or propositions may bias and limit the findings". Despite this, Eisenhardt (1989b) recognises the need for the initial definition of research questions, at least in broad terms, as it will help focus the study; while, at times, a priori specification of constructs can help sculpt the preliminary design of the study. Also, analogous to Yin (1994, 2009), Eisenhardt (1989b, p. 534) perceives the selection of cases instrumental in the research design, and both follow the idea of replication logic.

The research design also emphasises many of the logical steps which are apparent in Yin's (2009) contribution, namely using multiple forms of data, developing case protocols to augment reliability, a focus on generalisability, practices which aid in entering the field, and the analysing of data within and cross-case. Such similarities have meant that studies within management have simply used both as a basis to inform general elements design and reasoning of particular processes - citing both in the process (Druskat & Wheeler, 2003).

Unlike both Yin (1994, 2009) and Eisenhardt (1989b), Stake (1995) takes a qualitative and interpretivist approach to case studies. Stake (1995, p. 15) emphasises the necessity for good research questions: "Perhaps the most difficult task of the researcher is to design good questions, research questions, that will direct the looking and the think enough and not too much". Instead of propositions, Stake (1995) suggests that the researcher uses 'issue' statements to form a conceptual structure. Suggesting that issues are linked to political, social, historical and personal contexts Stake (1995, p. 17) claims:

"Issues draw us towards observing, even teasing out, the problems of the case, the conflicting outpourings, the complex backgrounds of human concern. Issues help us expand upon the moment, help us see the instance in a more historical light, help us recognise the pervasive problems in human interaction".

In selecting cases, Stake (1995) places emphasis on amplifying what the researcher can learn, and what cases are likely to help develop contentions, understandings and even transform generalisations. In regards to validity and reliability, Stake (1995) argues that this is realised through the author presenting an extensive body of indisputable narrative. This account would inform the reader so much about the case that practically any individual who would have the opportunity to experience it would have observed and documented it similarly to the researcher (Stake, 1995, 2013). While others (Eisenhardt, 1989b; Yin, 2009) argue about the possibility of generalisations from case study research, Stake (1995, p. 8) has a slightly different opinion, arguing that "the real business of case study is particularisation, not generalisation" - instead he proposes naturalistic generalisations. Prior to data collection, Stake (1995) also proposes the consideration techniques and strategies to guide the researcher. Similar to Eisenhardt (1989b) and Yin (1994, 2009), he espouses the need for data-gathering plans and protocols to help the researcher to manage and successfully guide through the process. Likewise, the need for multiple forms of data is recommended.

What is evident is that despite their differences, these three authors share a common design in order to examine a bounded system: definition of research question, case study design, data collection, data analysis, and report findings and discussion. Given the philosophical position in which this research resides, the approach encouraged by Stake (1995) is most appropriate for the study in question, and therefore provides the support for following sections on research design. However, while there are philosophical differences between case study supporters, the sequences between them to complete the research are extremely similar. The structured approach from Yin (1994, 2009) and Eisenhardt (1989b) offers a co-ordinated framework to undergoing case study research, while Stake's (1995, 2013) interpretive stance offers a dimension of flexibility which seems appropriate for the exploration in question. Therefore, there are some general common understandings between the different approaches that are relevant to the case study methodology, regardless of if it is qualitative and quantitative, and will be emphasised when relevant. Indeed, numerous qualitative case studies in management research, use ideas from these authors in an interchangeable manner (Wilson & Vlosky, 1997). Therefore, the following sections will outline the methodological steps undertaken to employ a case approach to the research in question.

### **3.3.4 Research questions in case study research**

The articulation of research questions is important within research (Easterby-Smith et al., 2012). Good research questions are vital for case studies because case and context are considerably intricate, and the phenomena unpredictable and elusive (Gillham, 2001; Stake, 1995). They also help to ground the researchers examination to the areas which are most relevant (Green, 2011). Due to the exploratory nature of this research, propositions were not developed. While hypotheses may refine the focus of the research, they also have the ability to reduce the importance of situations and incidents (Burns & Burns, 2008). Instead, in accordance with interpretivist paradigm, Stake (1995) contends that researchers can follow a conceptual framework or a conceptual structure can be formulated around 'issues' (or research questions) that function as a foundation to peruse understanding and unearth intricacy. In other words, research questions are created around issues that reveal intricacies and hunt for knowledge.

However, while research often begins with initial queries as a guide, Stake (2013) argues that these are on no account all-embracing; instead, the investigator adopts a continual process of developing questions in the field. Also, as identified earlier, case

studies are ideal for addressing questions which focus on ‘how’ and ‘why’, and ‘what’ in the event of exploratory research (Stake, 1995; Yin, 2009). The research questions (see section 1.4.2) developed for this study correspond to this postulation and will be used to direct the researcher throughout the process. Additionally, the data collection will be guided by the themes derived from the literature review in Chapter 2 (see Table 10).

### 3.3.5 Establishing the type of case study

Determining the type of case study is important (Easterby-Smith et al., 2012). Different approaches offer varying opportunities and are defined by their own rationales, and must be considered before a decision is finalised. This choice will be directed by the overall objectives of the research (Hartley, 2004). Highlighted in Table 15 is the varying terms to define a range of case studies.

Case Type and Description	Examples
<b><i>Exploratory:</i></b> <ul style="list-style-type: none"> <li>Commonly undertaken when existing knowledge and literature is poor. Research questions are often broad and hypotheses are uncommon. Data collection may be undertaken preceding the definition of research questions.</li> <li>They can be deliberately designed to help build theory through inductive methods in order to create hypothesis about new research questions.</li> </ul>	(Moenkemeyer, 2011; Post & Mahon, 1980; Salk & Shenkar, 2001)
<b><i>Explanatory:</i></b> <ul style="list-style-type: none"> <li>Is used when seeking to provide causal explanations.</li> <li>This is considered the only appropriate type for theory testing.</li> </ul>	(Amaya, Ackall, Pingitore, Quiroga, & Terrazas-Ponce, 1997)
<b><i>Descriptive:</i></b> <ul style="list-style-type: none"> <li>Used to present a rich and comprehensive description of an entity of interest in the context in which it transpired.</li> </ul>	(Ap & Wong, 2001)
<b><i>Single/Intrinsic:</i></b> <ul style="list-style-type: none"> <li>Focuses on improving the understanding of a specific case. The case is chosen as it itself is of interest – not because it corresponds to other cases or illustrates a specific dilemma or attribute. Theory building, construct validation or generalisation is not the aim – it is undertaken because of its intrinsic interest to the researcher.</li> </ul>	(Hellström, Nolan, & Lundh, 2005)
<b><i>Single/Instrumental:</i></b> <ul style="list-style-type: none"> <li>Is used if the aim is to provide understanding into an issue or to modify a generalisation or refine a theory. The case plays a supporting role and facilitates our understanding of something else.</li> </ul>	(Greenwood & Suddaby, 2006; Stein, Rocco, & Goldenetz, 2000)
<b><i>Multiple:</i></b> <ul style="list-style-type: none"> <li>This allows for the exploration of the differences between</li> </ul>	(Halme, Lindeman, & Linna, 2012;

cases. The aim is to reproduce findings across cases. <ul style="list-style-type: none"> <li>• Cases must be selected cautiously so that the investigator can predict similar results across cases; or predict conflicting results based on a theory. It is an instrumental case study expanded to numerous cases.</li> </ul>	Laamanen & Wallin, 2009; Ozcan & Eisenhardt, 2009)
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**Table 15: Case study types**

As Table 15 highlights, case studies can be exploratory, descriptive or explanatory depending on the nature of the research problem and questions; while they can also be intrinsic, instrumental, or multiple (Bryman & Bell, 2015; Stake, 1995). However, while identifying the case is important, consideration must be undertaken to decide if a single or multiple approach is best suited in understanding the phenomenon that will be explored. This will be discussed in the following sections.

### 3.3.5.1 Single or multiple case study

A single case study is similar to a solitary experiment (Hartley, 2004), with studies focusing on an individual, an organisation, a group of people, a department, and even a particular process. Therefore, they can generate invaluable information about particular research questions due to the in-depth analysis of a specific entity (Saunders et al., 2012). The decision to adopt a single case study will be dependent on the nature of the research questions. Despite residing within the positivist paradigm, Yin (2009) has formulated five justifications for adopting such a design which can be seen as relevant to any form of study. Each is detailed below in Table 16.

<b>Rationale</b>	<b>Description</b>
Represents a critical case	<ul style="list-style-type: none"> <li>• The rationale resolves around testing a well-formulated theory with a district set of propositions.</li> <li>• This allows the investigator to verify, develop or dispute the theory – thus contributes to knowledge.</li> </ul>
Represents an unique case	<ul style="list-style-type: none"> <li>• The justification for the single case study design rests upon the infrequency of the event.</li> </ul>
Representative or typical	<ul style="list-style-type: none"> <li>• Validation is proposed through a single case study's capacity to embody the unchanging nature of a specific occurrence.</li> </ul>
Longitudinal case	<ul style="list-style-type: none"> <li>• Involves studying the same case at two or more points in time.</li> <li>• The theory in question would indicate how particular conditions alter over time.</li> </ul>
Revelatory case	<ul style="list-style-type: none"> <li>• Justification is confirmed through the researcher's opportunity to gain access to a formally unattainable phenomenon.</li> <li>• The case study is worth doing because the descriptive information alone will be revelatory.</li> </ul>

**Table 16: Rationale for a single case**

Source: Taken from Yin (2009, pp. 47-50)



Alternatively, research that contains more than one isolated case is a multiple case study (Helfen & Sydow, 2013). Multiple case studies have become more prominent within managerial research (Walsh & Bartunek, 2011), and allows the researcher to analyse within and across settings in order to obtain a heightened level of understanding of the phenomenon being investigated (Easterby-Smith et al., 2012).

Case studies, whether they are single or multiple, can either be holistic or embedded (Hartley, 2004). The holistic case will examine only one unit of analysis. This could be an individual, an organisation, a group, situation, or phenomenon (Herbst & Coldwell, 2004). Conversely, an embedded case study will pinpoint a number of sub-units, each of which will be explored exclusively, and once analysed, the results will be pulled together to produce a more inclusive picture (Dubois & Gadde, 2002). For example, a holistic approach is relevant when the study is only concerned with the organisation as a whole; however an embedded one would be pertinent if the researcher is looking to examine a number of logical sub-units – for example departments, work groups, business units.

The general consensus is that the advantages case study research increases when multiple cases are examined (Merriam, 1998; Stake, 1995). Firstly, Ozcan and Eisenhardt (2009, p. 249) argue that “multiple cases are effective because they enable collection of comparative data, and so are likely to yield more accurate, generalizable theory than single cases”. Similarly, Stake (1995) emphasises that selection of cases is based on maximising what can be understood. Therefore, the evidence derived from multiple cases is judged to be more compelling (Dul & Hak, 2008), and so, is perceived to be more potent (Levay & Waks, 2009).

Following the previous discussion, the choice of an exploratory multiple case study appears to be the most pertinent approach to employ. Firstly, considering the underpinning rationales for choosing a single case study, the context of this research does not correspond to such an approach (see Table 17).

<b>Rationale for Single Case Study</b>	<b>Relevant to this research?</b>	<b>Rational</b>
Represents a critical case	No	<ul style="list-style-type: none"> <li>• This study is not aiming to test a specific well formulated theory or will be guided by a district set of propositions.</li> </ul>
Represents an extreme/unique case	No	<ul style="list-style-type: none"> <li>• This research is not using an extreme or unique case or examining the infrequency of an event.</li> <li>• There are currently 1007 WHSs around the globe; 28 are in the UK. Therefore, there are an abundance of potential cases to select from.</li> </ul>
Representative or typical case	No	<ul style="list-style-type: none"> <li>• In this research it would be difficult to identify a typical or representative case due to the array of differences between WHSs.</li> </ul>
Longitudinal case	No	<ul style="list-style-type: none"> <li>• It is not the intentions of this research to explore a single organisation over a specific period of time.</li> </ul>
Revelatory case	No	<ul style="list-style-type: none"> <li>• The phenomenon of focus within the research was not previously unattainable, or was likely to be so in the future. Access to differing sites would be possible if the researcher needed a change of focus.</li> </ul>

**Table 17: Applicability of a single case for this project**

Within current studies on WHS management a case study approach has been commonly employed. For example; Aas et al. (2005) explored stakeholder collaboration and heritage management at the Town of Luang Prabang, Evans (2002) investigated heritage interpretation at Historic District of Old Québec, and Nicholas et al. (2009) studied local community residents' support for World Heritage at Pitons Management Area. However, the use of multiple case research is limited, one of the exceptions being Landorf (2009) who explored the relationship between sustainable development and heritage tourism through a content analysis of site documentation.

As Table 17 outlines, the current nature of this research and the context in which it is situated indicates that a single case is impractical. Currently, there are 1031 WHS properties. Due to the diversity and number of the sites available it would be unrealistic to justify selecting one for an isolated study. Furthermore, engaging with multiple cases offers the opportunity to identify similarities as well as distinctions within real-life contexts. Therefore, the findings will have a high propensity to illuminate understanding of the phenomenon in question. Given there are limited studies which explore multiple cases in World Heritage research, this also offers an opportunity to contribute to current knowledge in the context. Additionally, as this research also aims to develop/build

theory, a multiple case study is perceived as the most obvious choice. Not only are single cases criticised for their lack of generalisability, but multiple cases are argued to be the most effective for producing compelling evidence and contributing to theoretical advancements (Santos & Eisenhardt, 2009; Stake, 2013).

### **3.3.6 Unit of analysis**

An important requirement of case study research is to define the “case” (Gotsi, Andriopoulos, Lewis, & Ingram, 2010). Generally, the case is a bounded entity, for example; an individual, an organisation, a group, processes, policies, an event, a period of time, a country, a place, and social interactions. As Merriam (1998, p. 27) maintains, “the single most defining characteristic of case study research lies in delimiting the object of study: the case ... the case is a unit, entity, or phenomenon with defined boundaries that the researcher can demarcate or ‘fence in’”. Essentially, the case functions as the main unit of analysis (Teerikangas, 2012). This refers to the main entity examined in the proposed research and is a context specific choice that depends on the research questions and setting of the study – simply, what issue or issues are being studied (Druskat & Wheeler, 2003; Stake, 1995).

The significance of the unit of analysis lies in its ability to distinctly define where the case begins and ends in both temporal and spatial terms, although this may be blurred at times (Stake, 1995). This is essential as it ensures that the research, both the questions asked and the data gathered, stay within the parameters of the focus of interest (Merriam, 1998). Within this study, the unit of analysis is the WHS. As this study aims to focus on the management of three specific WHS, the researcher’s boundaries are confined to within the parameters of each site in question. The unit of analysis produces information through which research questions may be fulfilled. Therefore, choosing the correct and sufficient number of cases is vital to the quality and cogency of the study (Dul & Hak, 2008). As such the following section will consider the process of case selection.

### **3.3.7 Selection of cases**

Cases selection is significant when conducting research (Bryman & Bell, 2015; Easterby-Smith et al., 2012). It is suggested that when some researchers choose cases they fall victim to the belief that their choice(s) should be illustrative of some population as in extensive hypothesis testing investigations (Eisenhardt & Graebner,

2007). Instead, from an interpretivist perspective, Stake (1995, p. 4) emphasises that the “case study research is not sampling research” and that cases are chosen based on the “opportunity to learn” as well as considering balance and variety. However, Stake (1995) does admit that multiple case study research may be planned with more concern for representation. Therefore, case selection was based on what would help illuminate the focus of the study.

The decision of the number of cases to use in a study could be a contentious issue (Perry, 1998). As Romano (1989, p. 36) states, “the literature recommending the use of case studies rarely specifies how many cases should be developed ... the decision is left to the author”. Others recommend that cases should be added to the point of redundancy (Lincoln & Guba, 1985) or until theoretical saturation is accomplished (Gotsi et al., 2010). However, experts on case study design have recommended a more specific range within which the quantity should fall (Perry, 1998). Furthermore, Hedges (1985) argues that three to six cases form an acceptable minimum for a study, with the upper limit being twelve due to researcher costs and the amount of data which can efficiently digested. Finally, Miles and Huberman (1994) argue that a multiple case study which exceeds fifteen cases makes the research unmanageable. Table 18 charts how many cases key studies within management research have embraced.

<b>Number Used</b>	<b>References</b>
Two	(Clark et al., 2010; Halme et al., 2012; Levay & Waks, 2009; Mattarelli & Tagliaventi, 2012; Meyer, 2001a)
Three	(Alvarez, Mazza, Pedersen, & Svejenova, 2005; Bilhuber Galli & Müller-Stewens, 2012; Laamanen & Wallin, 2009; Maitlis, 2005; Miozzo, Lehrer, DeFillippi, Grimshaw, & Ordanini, 2012; Swan & Scarbrough, 2005)
Four	(Anand et al., 2007; Reay et al., 2013; Riantoputra, 2010; Shepherd, Patzelt, Williams, & Warnecke, 2014; Yoshikawa, Tsui-Auch, & McGuire, 2007; Zhao, Anand, & Mitchell, 2005)
Five	(Denis, Lamothe, & Langley, 2001; Gotsi et al., 2010; Keil et al., 2008; Santos & Eisenhardt, 2009)
Six	(Martin, 2011; Martin & Eisenhardt, 2010; Ozcan & Eisenhardt, 2009; Taylor, Cocklin, Brown, & Wilson-Evered, 2011; Walsh & Bartunek, 2011)
Eight	(Bosch-Sijtsema, Fruchter, Vartiainen, & Ruohomäki, 2011; Bresman, 2013; Davis & Eisenhardt, 2011; Helfen & Sydow, 2013; Hempel & Martinsons, 2009; Teerikangas, 2012)
Nine	(Bingham & Davis, 2012; Hallen & Eisenhardt, 2012)
Ten	(Fitzgerald et al., 2012; Håkansson & Isidorsson, 2012)
Twelve	(Graebner, 2009; Graebner & Eisenhardt, 2004)

**Table 18: Examples of number of cases used within management research**

As Table 18 demonstrates, researchers usually select three to ten cases. Therefore, three sites will be used for this study and will be outlined in the preceding section.

#### **3.3.7.1 World Heritage in the United Kingdom**

The UK joined the World Heritage Convention in 1984 and, to date, have 28 WHSs. These sites differ significantly in size and type and include cathedrals, urban centres, landscapes, archaeological remains and industrial sites. Furthermore, these sites also vary in their ownership patterns. For example, Edinburgh's Old and New Towns WHS have many thousands of owners and occupiers, while Blenheim Palace is currently under single proprietorship. Within government, the Department for Culture, Media and Sport is accountable for the UK's compliance with the World Heritage Convention, and works closely on such matters with the nation's devolved administrations. Despite this, the nomination and successful protection of specific sites is devolved to the administrations of the Home Nations. Supporting the DCMS is the UK National Commission for UNESCO who works directly with bodies that are responsible for the protection of cultural heritage within these nations. This includes bodies such as: Historic England, Historic Scotland, and Cadw. Furthermore, the Local Authority World Heritage Forum was formed to aid local authorities in helping them to protect and present their WHSs. This entails the Forum having gatherings with local councillors and council department to discuss concerns and share best practice.

In the UK, World Heritage has no formal status in terms of organisational administration and no additional monetary aid. Instead, protection is administered through individual designations and the planning systems of the relevant territory. Therefore, authorities are required to ensure that appropriate legal regulations are in place to protect WHSs from harm and inappropriate development. For example, in Scotland WHS are protected through regulations such as: The Town and Country Planning (Scotland) Act 1997; The Planning (Scotland) Act 2006; The Planning (Listed Building and Conservation Areas) (Scotland) Act 1997 and the 1979 Ancient Monuments and Archaeological Areas Act; The Scottish Historic Environment Policy; and regional and local planning policy. Also, commonly supported by a WHS coordinator, the management structure of UK sites is dependent on the benevolence of stakeholders coming together in an often amorphous way (Millar, 2006). Most sites operate with an overarching managerial partnership containing diverse interests in relation to the site. However, structure and involvement differs between properties.

Each site must produce an updated management plan every five years, a process which has been touted as instrumental in bringing together the main stakeholders to develop and agree to a common vision for the future of a site.

For this research, site selection was based on what would help illuminate the focus of the study (Stake, 1995). Firstly, since there is a large quantity of WHSs throughout the world, this research has chosen to focus on properties within the UK. Sites were chosen exclusively from the UK for a number of reasons: it kept the research within the parameters within more known legislative frameworks, and made access and the cost travel to the sites more unproblematic (Dul & Hak, 2008). It also ensured that engagement with the participants and documents for the study were in the English language, making translation problems redundant. Secondly, cases were chosen based on site ownership structure, as places under sole proprietorship would have extremely less relevance to the research. Due to the nature of this study, sites which consisted of multiple ownership patterns were selected as they had the highest propensity to illumine the objectives of the investigation. In the UK, there are numerous WHSs that are characterised by multiple ownership patterns. Examples include: the City of Bath, Hadrian's Wall, Ironbridge Gorge, Edinburgh's Old and New Towns, the Derwent Valley Mills, and the Antonine Wall.

Case selection was also based on the willingness of site managers and representatives to take part in the study. As Hartley (2004) contends, without input from key members of the study's context, the findings and analysis of the research can be seriously questioned. In the initial stages of this research, potential sites were identified and communication was made with the relevant representatives. This included the WHSs mentioned above plus others including: the Blaenavon Industrial Landscape, New Lanark, and Liverpool Maritime Mercantile City. Through this process the researcher had to eliminate sites where there was little interest from site managers or where there were not enough potential interviewees to generate an accurate or inclusive account which would reliably contribute to the study. As Rowley (2002) argues, case selection is often grounded in gaining sufficient access to the focus of the research so that enough credible information can be collected in order to effectively inform the single and cross-case analysis. Of the sites contacted, three generated sufficient participation from a variety of managers and representatives. These were: Edinburgh's Old and New Towns,

the Derwent Valley Mills, and the Antonine Wall. Therefore, these sites were chosen for this research. The sites will now be outlined.

### **Edinburgh's Old and New Towns**

Inscribed as a WHS in 1995, Edinburgh's Old and New Towns encompass one of the most distinctive cityscapes in the world. Scotland's capital city since the 15<sup>th</sup> century, Edinburgh is characterised by its juxtaposition of two historical areas, each with its own important settings: the Old and New Towns. The divergence between the organic medieval Old Town and the planned Georgian New Town offers a transparent urban structure which is unequalled throughout Europe, with both being personified with its unique historical and architectural interest. Table 19 highlights the criteria in which the Edinburgh's Old and New Towns were inscribed as a WHS.

	<b>UNESCO criteria for selection</b>	<b>Declaration of Significance</b>
<b>ii.</b>	To exhibit an important interchange of human values, over a span of time or within a cultural area of the world, on developments in architecture or technology, monumental arts, town-planning or landscape design	The successive planned extensions of the New Town, and the high quality of its architecture, set standards for Scotland and beyond, and exerted a major influence on the development of urban architecture and town planning throughout Europe, in the 18th and 19th centuries
<b>iv.</b>	To be an outstanding example of a type of building, architectural or technological ensemble or landscape which illustrates (a) significant stage(s) in human history	The Old and New Towns together form a dramatic reflection of significant changes in European urban planning, from the inward looking, defensive walled medieval city of royal palaces, abbeys and organically developed burgh plots in the Old Town, through the expansive formal Enlightenment planning of the 18th and 19th centuries in the New Town, to the 19th century rediscovery and revival of the Old Town with its adaptation of a distinctive Baronial style of architecture in an urban setting

**Table 19: Edinburgh Old and New Towns inscription criteria**

**Source:** Edinburgh World Heritage Steering Group (2012) *The Old and New Towns of Edinburgh World Heritage Site: Management Plan 2011-2016*, Edinburgh World Heritage Steering Group, Edinburgh

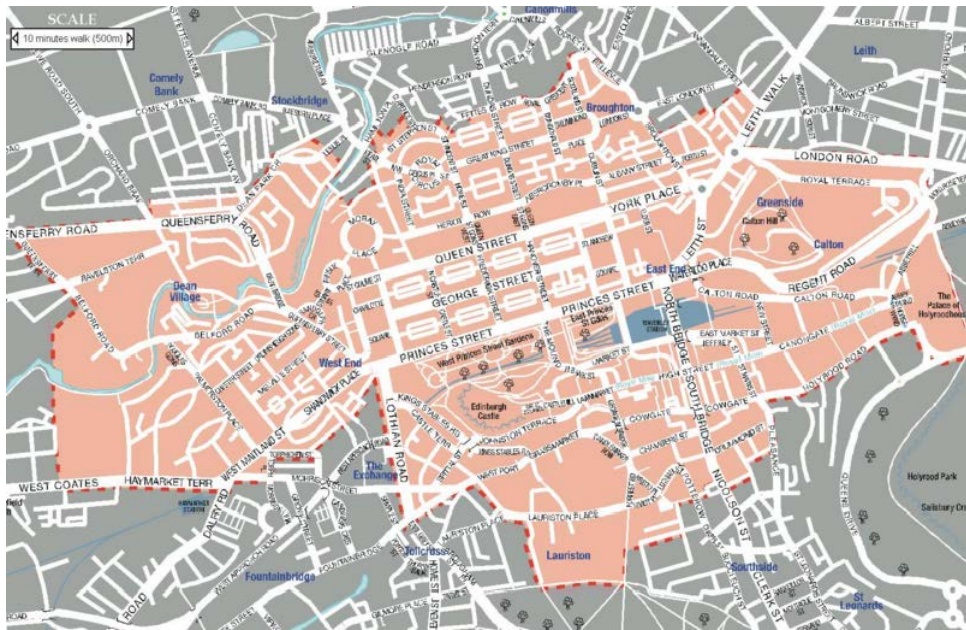
Edinburgh's Old Town stretches from the Castle which is positioned on an extinct volcano down to the Palace of Holyrood, Scotland's official residence of The Queen. The Old Town is characterised by the endurance of its medieval fishbone street pattern

of wyndes, narrow closes and courts leading off the spine grown from the High Street. It also comprises of many noble and merchant houses from the 16<sup>th</sup> and 17<sup>th</sup> century. The High Street is also distinguished by being the lengthiest street in the Old Town, with a sense of enclosed space due to its width and being surrounded by the tall buildings which line it and the narrow spaces between them.

First designed in 1767, Edinburgh's New Town is one of the biggest and finest conserved examples of Georgian town planning in the UK. Initially, it was constructed as an assemblage of seven new towns and is characterised by its high number of neo-classical buildings. These buildings are connected with prominent architects such as Sir William Chambers and John and Robert Adam. This townscape was further integrated with gardens which were devised to exploit the topography of the area, creating a large system of private and public open spaces. Together both the Old and New Towns contain some of the most exceptional public and commercial monuments of the neo-classical Europe, which survive to this day. Figure 4 provides photographic evidence of the scale of the WHS.







**Figure 4: Edinburgh's Old and New Towns WHS map.**

**Source:** Edinburgh World Heritage (2011) *Edinburgh WHS Management Plan 2011-2016*, Edinburgh World Heritage steering group, Edinburgh; Edinburgh World Heritage (2016) *World Heritage Site map*, Available From: <http://www.ewht.org.uk/news/67/143/World-Heritage-Site-map> (15/02/2016).

As Figure 4 depicts, today, Edinburgh's Old and New Towns, which encompass a large part of the city, is home to a flourishing capital city and is regarded as the economic and political centre of Scotland. Furthermore, Edinburgh has the second largest financial centre in the UK after London, and a tourism market which contributes £2billion a year. It also accommodates a large range of uses from governmental, residential, educational, legal and commercial. Currently, over 75% of all the buildings within the WHS are listed for their architectural or historic importance, the WHS containing 25,000 living residents alone.

### **The Derwent Valley Mills**

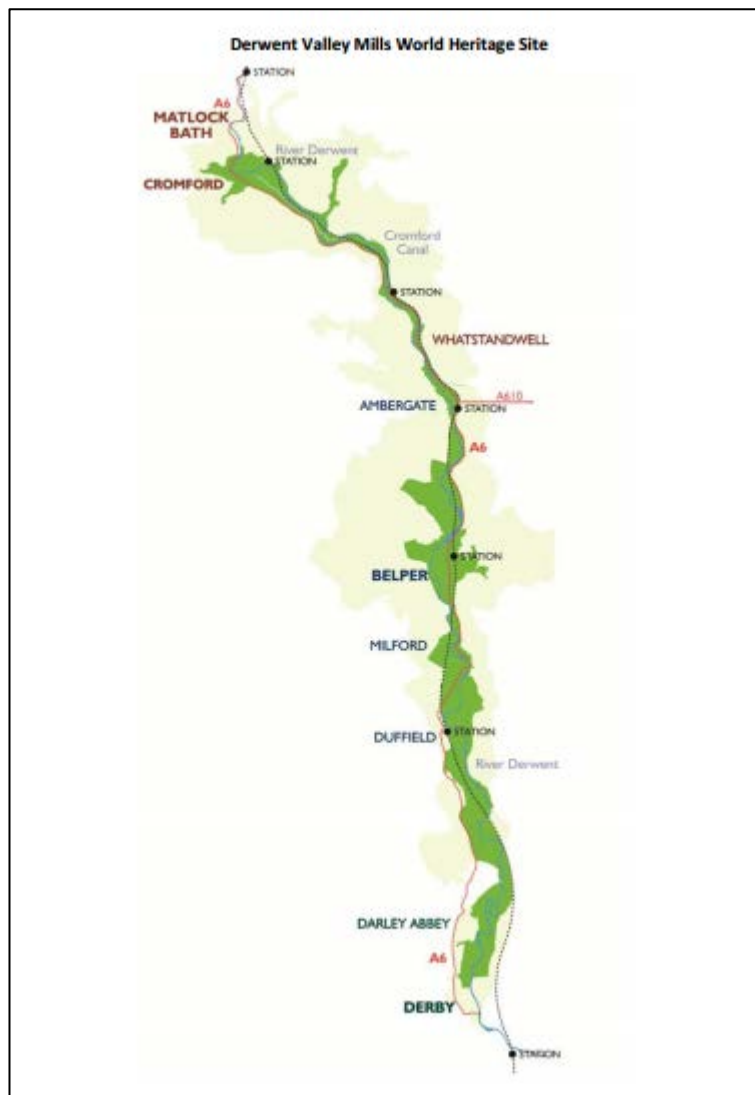
The Derwent Valley Mills and the surrounding landscape were inscribed as a WHS by UNESCO in 2001. Located in central England, the site encompasses a series of eighteen and nineteenth century cotton mills and an industrial landscape of important historical interest. The international recognition stems from the valley being the host to the birth of the factory system and the creation of the first modern industrial settlements. The industrial-scale production and the subsequent workers accommodation demonstrate the socio-economic enhancement of the area. Table 20 describes the criteria in which the Derwent Valley Mills was inscribed as a WHS.

	UNESCO criteria for selection	Declaration of Significance
ii.	To exhibit an important interchange of human values, over a span of time or within a cultural area of the world, on developments in architecture or technology, monumental arts, town-planning or landscape design.	The Derwent Valley saw the birth of the factory system, when new types of building were erected to house the new technology for spinning cotton developed by Richard Arkwright.
iv.	To be an outstanding example of a type of building, architectural or technological ensemble or landscape which illustrates (a) significant stage(s) in human history.	In the Derwent Valley for the first time there was large-scale industrial production in a hitherto rural landscape. The need to provide housing and other facilities for workers and managers resulted in the creation of an exceptional industrial landscape that has retained its qualities over two centuries.

**Table 20: Derwent Valley Mills inscription criteria**

**Source: Derwent Valley Mills Partnership (2013) *DVMWHS Management Plan 2013-2018*, Derwent Valley Mills Partnership, Derbyshire**

The origins of construction in the area were initiated by the erection of the Silk Mill (contained technology for throwing silk) by Thomas and John Lombe in 1721. Nevertheless, it was not until Richard Arkwright, in partnership with Jedediah Strutt, built a water-powered spinning mill in 1771 in Cromford, and a second larger mill in 1776-77 that the ‘Arkwright System’ was established. His patent of a ‘water frame’ permitted cotton to be spun constantly and so could be easily produced by unskilled labour. The creation of industrial buildings into a rural landscape also required the construction of accommodation for the mill workers, who were mainly children. In order to entice families, he developed the village of Cromford. The subsequent settlements established a unique industrial landscape. The significance of the industrial building of the Derwent Valley Mills resides in its uniqueness of being the first of its kind and the exemplar for future factories. The effectiveness of Arkwright’s system of production and workers housing resulted in it being adopted through-out the valley by competitors, and later throughout Britain and the world. For example, Jedediah Strutt constructed his first mills in Milford and Belper between 1776 and 1781; while the Evans brothers built a mill at Darley Abby.



**Figure 5: The Derwent Valley Mills WHS map.**

**Source: Derwent Valley Mills Partnership (2013) *DVMWHS Management Plan 2013-2018*, Derwent Valley Mills Partnership, Derbyshire.**

However, during the 19<sup>th</sup> century steam gradually surpassed water as a source of power, and along with other locations being more accessible, raw materials, and new markets - resulted in industry focusing on other parts of the nation. However, through modernisation, the Masson Mill in Matlock Bath continued in operation until 1992. Today, the mills and the workers housing remain intact and exemplify the socio-economic development of the area, with over 800 listed buildings within the parameters of the WHS. As Figure 5 highlights, these buildings cover 24km of the Derwent Valley from the perimeters of Matlock Bath in the North to the centre of Derby in the South. Connected by the river Derwent, which provided the water to function the cotton mills, the major industrial communities are Cromford, Belper, Milford, and Darley Abbey (see Figure 5). These settlements contain many of the prominent buildings of interest and include the Cromford Mill, the Masson Mills in Matlock Bath, the Belper North Mill, and the Silk Mill in Derby.

### **The Antonine Wall**

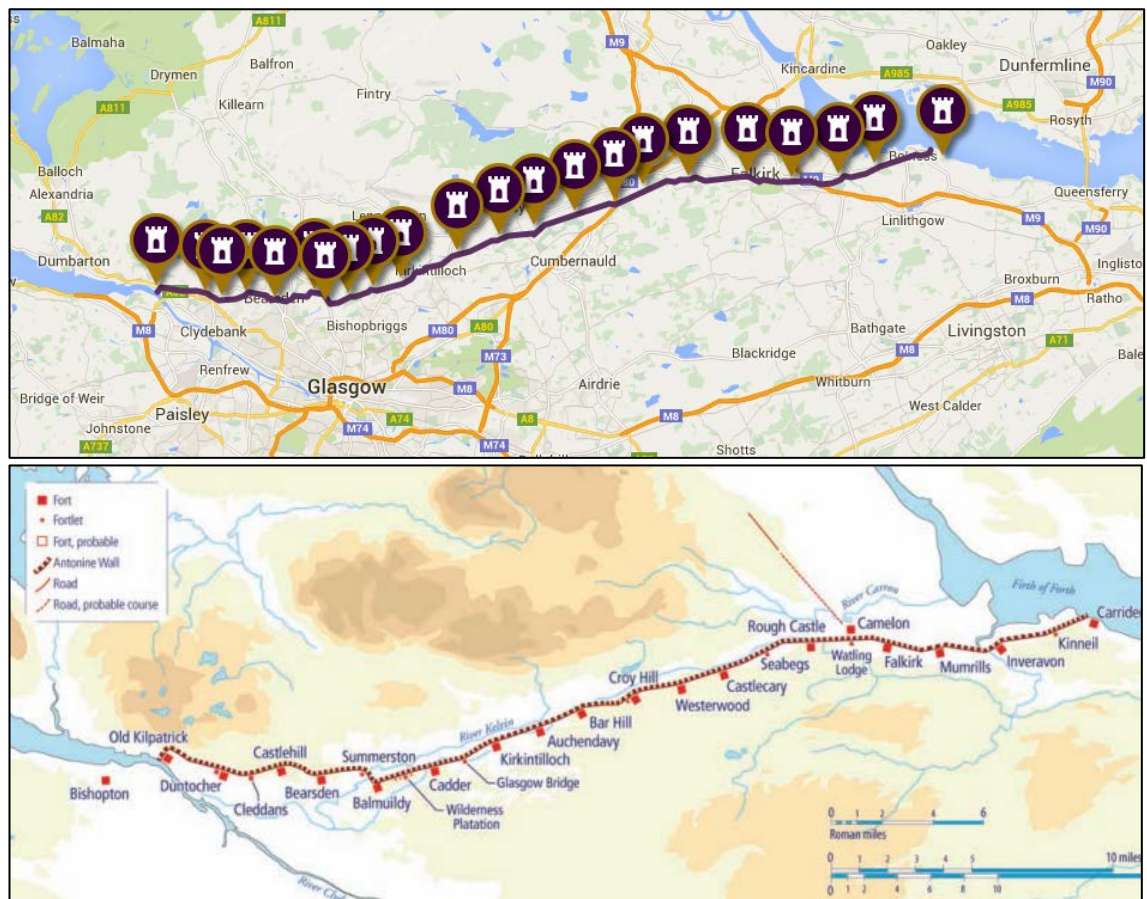
The Antonine Wall (AW) was inscribed as a WHS in 2008. It is part of a much larger WHS, The Frontiers of the Roman Empire – along with Hadrian’s Wall and the German Limes. Constructed approximately 2000 years ago on the orders of Emperor Antoninus Pius in the years succeeding AD 140, the AW was the north-west frontier of the Roman Empire. The Wall covered 60 km (40 Roman miles) from present-day Bo’ness on the Firth of Forth to Old Kilpatrick on the River Clyde (see Figure 6). Table 21 highlights the criteria in which the AW was inscribed as a WHS.

	<b>UNESCO criteria for selection</b>	<b>Declaration of Significance</b>
<b>i.</b>	To represent a masterpiece of human creative genius	That the AW is the most complex and developed of all Roman frontiers
<b>ii.</b>	To exhibit an important interchange of human values, over a span of time or within a cultural area of the world, on developments in architecture or technology, monumental arts, town-planning or landscape design	As the most northerly frontier of the Roman Empire, the AW reflects Rome’s desire to rule the world; and is a physical manifestation of a change in Roman imperial foreign policy following the death of the emperor Hadrian in 138AD
<b>iii.</b>	To bear a unique or at least exceptional testimony to a cultural tradition or to a civilisation which is living or which has disappeared	On the basis that the AW was constructed at the time when writers were extolling the virtues of Roman frontiers; that it bears an exceptional testimony to the Rome’s military traditions; and is an exceptional example of the methods developed by the Romans to protect their empire

**Table 21: AW inscription criteria**

**Source:** Historic Scotland (2014, p.6-9) *The AW Management Plan 20014-2019*, Historic Scotland, Edinburgh

One of the most complex frontiers built by the Romans, the AW acted as a representation of the Empire’s authority and power, as well as a physical barrier against the barbarians. Unlike Hadrian’s Wall, the AW was not made of stone, instead comprised of a rampant of earth faced with turf, resting on a stone foundation. Accommodation for the Roman troops was provided by the fortlets and forts, which also acted as protected crossing stations to monitor movement north and south. However, it was abandoned in the 160’s AD, only being occupied for a generation.



**Figure 6: The Antonine Wall WHS map.**

Source: Historic Scotland (2014, p. 25) *The AW Management Plan 20014-2019*, Historic Scotland, Edinburgh; The Antonine Wall (2016) *Interactive map*, Available From: <http://www.antoninewall.org/map> (15/02/2016).

Despite its relatively short occupation, the AW is considered to be the most developed frontier constructed by the Romans to protect their empire at the time. Today, in many locations, the Wall has been lost through built development, changing landscapes and agricultural reasons. This has resulted in little over a third remaining viable. Despite this, considerable sections of the Wall can be observed at various locations, especially within the Falkirk region. This includes: the Watling Lodge, Rough Castle, the Bearsden Bath House, Seabegs Wood, and Croy Hill (see Figure 6).

These cases are chosen not only because they are representative the selection of WHSs within the UK, but also offer the foundation for an insight into the phenomenon which in necessary to explore theoretical lens of this research. Additionally, sites were chosen exclusively from the UK for a number of reasons; it kept the research within the parameters within more known legislative frameworks, made access and the cost of travel to the sites more unproblematic, and ensured that engagement with the participants and documents for the study were in the English language, making translation problems redundant.



### 3.3.8 Data collection techniques

Case studies can utilise a number of data collection techniques (Riantoputra, 2010). According to Merriam (1998, p. 134), “understanding the case in its totality, as well as the intensive, holistic description and analysis characteristic of a case study, mandates both breadth and depth of data collection”. Using multiple sources of evidence is essential as it allows the researcher to gain an extensive understanding of the investigation (Bingham & Davis, 2012; Maitlis, 2005). Table 22 describes the six sources of evidence for data collection commonly used within case study research.

Data	Description	Observations	References
Documents	<ul style="list-style-type: none"> <li>Minutes of meetings</li> <li>Internal documents</li> <li>Press releases</li> <li>Emails and memos</li> <li>Newsletters</li> <li>Strategy documents</li> <li>Media articles</li> </ul>	<ul style="list-style-type: none"> <li>Commonly used</li> <li>Used to inform and support other sources</li> <li>Used to highlight possible interviewees</li> <li>Often commented as archival research</li> </ul>	(Bilhuber Galli & Müller-Stewens, 2012; Halme et al., 2012; Mattarelli & Tagliaventi, 2012; Taylor et al., 2011)
Archival records	<ul style="list-style-type: none"> <li>Brochures and memos</li> <li>Company publications</li> <li>Audio/video media</li> <li>Databases and books</li> <li>Annual reports</li> <li>Financial reports</li> </ul>	<ul style="list-style-type: none"> <li>Commonly used</li> <li>Used to complement other sources of information</li> <li>Often commented as documentation</li> </ul>	(Anand et al., 2007; Davis & Eisenhardt, 2011; Martin, 2011; Mattarelli & Tagliaventi, 2012)
Interviews	<ul style="list-style-type: none"> <li>Formal</li> <li>Informal</li> <li>Semi-structured</li> <li>Group interviews</li> </ul>	<ul style="list-style-type: none"> <li>Most commonly used</li> <li>Used to complement other sources of information</li> </ul>	(Bilhuber Galli & Müller-Stewens, 2012; Reay et al., 2013)
Direct observation	<ul style="list-style-type: none"> <li>Observing meetings, work environments, workshops, presentations, and conferences</li> <li>Sites visits</li> </ul>	<ul style="list-style-type: none"> <li>Utilised readily</li> <li>Used to complement other sources of information</li> </ul>	(Anand et al., 2007; Bosch-Sijtsema et al., 2011; Ozcan & Eisenhardt, 2009)
Participant observation	<ul style="list-style-type: none"> <li>Actively taking part in organisational activities</li> <li>Engaging with participants throughout the process</li> </ul>	<ul style="list-style-type: none"> <li>Used less than direct observations</li> <li>Used to complement other sources</li> </ul>	(Clark et al., 2010; Håkansson & Isidorsson, 2012; Meyer, 2001a)
Physical artefacts	<ul style="list-style-type: none"> <li>Photographs taken during various stages of the process</li> </ul>	<ul style="list-style-type: none"> <li>Limited use</li> <li>Used to complement other sources</li> </ul>	(Oliver & Roos, 2007)

Surveys	<ul style="list-style-type: none"> <li>Used to collect various forms of information: demographics; personal information; work related data</li> </ul>	<ul style="list-style-type: none"> <li>Limited use</li> <li>Used post interview</li> <li>Used to validate observations</li> </ul>	(Bosch-Sijtsema et al., 2011; Riantoputra, 2010; Taylor et al., 2011)
Websites	<ul style="list-style-type: none"> <li>Company websites and corporate intranet contains relevant organisational information</li> </ul>	<ul style="list-style-type: none"> <li>Used as a medium to collect other sources</li> </ul>	(Davis, Eisenhardt, & Bingham, 2009; Riantoputra, 2010)

**Table 22: Sources of evidence**

Table 22 also identifies two sources which are rarely mentioned in detail by traditional multiple case study proponents: surveys and websites. There also appears to be a lack of clarity between archival records and documentation with articles using the terms concurrently. Collectively, the sources in Table 22 are regarded as complementary and that an effective study will employ a collection of these techniques (Dul & Hak, 2008; Stake, 1995). For the purpose of this research, a number of the data collection methods were utilised, including documentation, interviews, and psychical artefacts. Reasoning for their choice will be discussed in the following sections.

### **3.3.8.1 Documentation**

Documentation is critical to any case study (Mattarelli & Tagliaventi, 2012), and is essential for supporting and enhancing the information derived from other sources of evidence (Meyer, 2001a; Wholey, Hatry, & Newcomer, 2010). Documentation includes: annual general reports, letters, minutes of meetings, administrative records, newspapers articles, and diaries (Gotsi et al., 2010; Taylor et al., 2011). Documentation also provides rich contextual information which can help the researcher understand and innately explore the structures and processes of the study's context. Additionally, they are useful for confirming the identification of possible individuals or organisations which could be used as part of a study, or have been overlooked throughout the process and require attention (Alvarez et al., 2005). Furthermore, documents have the ability to inform the research when outstanding queries remain following site visits (Wholey et al., 2010). Despite their strength, the collection of documents for research should always be critically assessed. For example, Bryman (1989) argues that the difficulty with documentation is that often it is intended to have a particular influence over a diverse audience to achieve a specific objective. Similarly, Ott (1989, p. 109) claims that, "official publications such as brochures, annual reports, and press releases ...

typically reflect only what a team of executives and public relations people want to convey”.

Gathering documents was an element of data collection for this study. Firstly, the strategic documents for each WHS were collected. The strategic documents included:

- **Edinburgh Old and New Towns:** management plans, action plans, monitoring reports, annual reviews, and consultation documents.
- **The Derwent Valley Mills:** management plans, action plans, monitoring reports, the economic development plan, the tourism strategy, the interpretation plan, annual monitoring reports, and annual reports
- **The Antonine Wall:** nomination and management plans, consultation reports, Strategic Environmental Assessment report, Interpretation Plan and Access Strategy, and the Research to Inform an Education Strategy.

Access to these was unproblematic as all sites had publically made available their management plans and many of their strategic documents on their respected websites. The websites also provided access to ‘latest news’ feeds which highlighted some of the site’s key activities and events. These documents contained rich information which informed the contextualisation of the study and offered an insight into the structures and practices of the sites. They also provided value in identifying key actors who were potential interviewee candidates and offered a platform to develop relevant lines of enquiry for the interviews. However, it must be noted that the documents used for this study were the finalised and published versions. Therefore, archived materials such as draft documents and further consultation responses were not used. This could be considered an important omission as these documents may have offered further evidence to inform and support the findings of this research (Denzin & Lincoln, 2000). However, given the limits on time, resources and access, the researcher had to make a conscious decision regarding the boundaries of the data gathering process. As section 6.6 highlights, data overload become a challenge within the research process (Bryman & Bell, 2015), therefore limiting the gathering to finalised documents appears justified. Other forms of documentation included in this study were media sources such as press releases and newspaper clippings relevant to the sites. Both of these sources were gathered from online domains; press releases were accessible through the WHSs



websites, while newspapers clippings were collected from online publications within national and local tabloids.

### **3.3.8.2 Interviews**

Interviews are a valuable source of evidence within case studies (Fitzgerald et al., 2012), and are a tool which allows for the collection of large amounts of detailed information (Kvale, 1983). The qualitative interview can be described as “an interview, whose purpose is to gather descriptions of the life-world of the interviewee with respect to interpretation of the meaning of the described phenomenon” (Kvale, 1983, p. 174). Interviews can take the form of structured, semi-structured and unstructured enquires. For the basis of this research, semi-structured interviews were employed (Easterby-Smith et al., 2012). The usefulness of semi-structured interviews is acknowledged throughout academia (Denis et al., 2001). Typically, they encompass the use of some pre-determined lines of enquiry; however there is no stringent devotion to them. This flexibility not only allows, often through encouragement, the interviewee to digress beyond straightforward answers, but it allows the interviewer to explore divergent levels of meaning within areas of interest which arise (Walker, 1985). This flexibility has the ability to unearth new information and new topics of interest which may serve to enlighten or develop the study and may even lead to the researcher to asking unprepared questions during the interview (Saunders et al., 2012).

While the respondent is considered as a ‘subject’ in quantitative research, an important feature of qualitative research is the nature of the relationship between the interviewee and the interviewer (King, 2004a). Therefore, there is the assertion that there cannot be a relationship-free discussion (Lee, 1999). Consequently, the relationship between the interviewee and the interviewer is a feature of the research process, with the participant being a functioning contributor, dynamically influencing the interview rather than being a passive participant who responds to pre-determined questions (Kvale, 1983). Furthermore, interviews are perceived to be ideal for gaining multiple realities of the case due to the openness of the interaction (Merriam, 1998; Stake, 1995). This is because each interviewee is assumed to have exclusive experiences and distinctive accounts to express. Due to the researcher’s objective to explore how custodianship behaviours are nurtured within a diverse and complex network of stakeholders within WHS management, the openness and the flexible nature of semi-structured interviews appear the most pertinent to uncover the complexities and nature of the phenomenon.

The use of semi-structured interviews will also allow managers to go beyond simple responses to helpfully engage in a more comprehensive discussion, allowing for the gathering of multi-perspective narratives across the chosen sites.

Despite the strengths of semi-structured interviews, their limitations must be considered. Firstly, the process of developing an interview framework, negotiating access, the undertaking of the interviews, and the transcriptional and analysis can be lengthy (Cameron & Price, 2009; King, 2004a). Therefore, researchers can fall victim to information overload due to the sheer volume of data collated through the process (King, 2004a). Additionally, answers to the questions posed to respondents are not always entirely without preconceptions. Similarly, Gomm (2008) discusses the influence of ‘demand characteristics’ in which responses are based on what they feel the interviewer wants to hear or what they believe the situation requires. Despite these limitations, the strengths of utilising semi-structured interviews outweigh the weaknesses and are deemed an essential approach to gathering evidence for this study.

### **Sampling**

Sampling is defined as “the process of selecting a fraction of the total number of units of interest to decision makers for the ultimate purpose of being able to draw conclusions about the entire body of units” (Parasuraman, Grewal, & Krishnan, 1991, p. 473). Sampling, when selecting potential candidates for research purposes, is significant and can influence a study’s reliability and legitimacy. Therefore, cautious deliberation is needed when choosing and vindicating the sampling strategy.

Judgemental sampling was used in this study and is described as “a type of purposive sampling in which the researcher judgementally selects elements to conform to some criterion” (Herbst & Coldwell, 2004, p. 81). This approach is grounded on the position that the researcher believes that they can produce a representative sample through good judgement (Saunders et al., 2012). However, it is suggested that there is a higher probability of personal bias (Panneerselvam, 2004). Despite this, the strength of judgement sampling rests in its ability to select a sample of individuals and/or groups which have experienced, or are experiencing, the phenomenon (Bryman & Bell, 2015). Consequently, judgement sampling is justified through its proficiency to select the most appropriate participants for the intended study. As this research focuses on WHS management it appeared appropriate that the key administrative figures were identified

and sought out for a possible interview. Despite residing within these structures, these managers are representatives from differing organisations and interests. These managers were identified through the documentation available in regards to each site; the sites management plan, and information found on their online resources.

A number of potential interviewees were also recommended through interaction with other participants throughout the study (Teerikangas, 2012). This is known as snowball sampling, and is described as a “non-probability sampling procedure in which subsequent respondents are obtained through information provided by initial respondents” (Saunders et al., 2012, p. 682). Numerous multiple case researchers have used this as an ideal way of generating an effective sample (Martin, 2011). An advantage of this is the enhanced possibility of detecting desirable participants who have familiarity of the context (Easterby-Smith et al., 2012). However, this form of sampling is argued to lack partiality as individuals may suggest others of the same world view or epitomise a specific group (Easterby-Smith et al., 2012). Nevertheless, this partiality can be eased through employing a probability technique to selecting samples. As judgement sampling has already been identified as the process taken to gather participants, the researcher has made their best verdict in ensuring that the sample is representative of the people available for this study.

### **Interview Guide**

The interviewer must also have a strong plan, as the ability to arouse good responses is a special skill (Hempel & Martinsons, 2009; Miozzo et al., 2012). As Stake (1995) argues, “it is terribly easy to fail to get the right questions asked, awfully difficult to steer some of the most informative interviewees on to your choice of issues”. Therefore, the researcher should have a strategy which helps ensure that relevant and important themes are encompassed within the interview (King, 2004a). Authors suggest the creation of an ‘interview guide’ (King, 2004a), a suggestion that was embraced within this research. For this study, a pre-prepared set of topics/questions had been produced with the aim of providing a form of direction for interviews (see Appendix 1), with lines of enquiry corresponded to the critical themes which underpinned the study.

As the ‘guide’ highlights, inquiries were created in order to enable relevant information to be assembled with the intention of informing one or more of the study’s objectives (Graebner & Eisenhardt, 2004; Yoshikawa et al., 2007). While presenting a structured

framework to the interviews, the guide was not used as a predetermined direction for the dialogue as the researcher did not want to compromise the openness of semi-structured approach. Ensuring this flexibility was essential, as throughout the interactions interviewees would regularly discuss themes interchangeably and answer several points simultaneously. However, this had a problematic influence, as at points it was difficult to determine what had already been covered or not. Consequently, an additional column, constituting a checklist, was added to the research guide in order to remind the researcher what themes had been discussed or not.

### **Access**

Acquiring and maintaining access to the focus of the study is vital. This is based on the acceptance that most successful studies are dependent on the access, often repetitive, to a number of different entities (Hartley, 2004). Despite this, access to individuals and/or organisations is problematic and frequently researchers are faced with difficulties. This is due to a number of reasons and can include: lack of interest, potential threats to their assets or reputation, time and money commitments, and a lack of planning by the researcher. As Stake (1995, p. 59) argues, “almost always, data gathering is done on somebody’s home grounds ... and involves a small invasion of personal privacy”. Therefore, determining who the “crucial gatekeepers” to organisational research is imperative (Hartley, 2004). While there may be numerous, these individuals are those who are influential in deciding if access is permitted, deciding the time-frame, and have the capacity to provide contact or introductions to other noteworthy persons internal or external to the organisations (Hartley, 2004).

Access was an important issue within this study due to the diverse network of managing bodies of the case sites. Due to this intricacy, prior planning was undertaken to establish who would be the most effective participants to make contact with and from there obtain access through the appropriate means. Through the recommendations of Hartley (2004), the identification of the site “gatekeepers” in order to secure access was also embraced. In many cases this was the site’s World Heritage Co-ordinator, however other representatives were identified through an investigation of site-specific documents and then contacted respectively.

Saunders et al. (2012, p. 214) contend, “Your ability to demonstrate clearly your research competence and integrity, and in particular your ability to explain your

research project clearly and concisely, will also be critical at each level of access”. Contact was made with potential respondents through email which included information relating to: the researcher’s identity, the intended casework and how they may be able to help, what is likely to be involved through partaking, and availability of more detailed information upon request. Effort was also made to ensure that this correspondence was well-mannered and set out the intentions of the proposed research clearly. After receiving a response, access was then negotiated at the convenience of the respondent.

### **3.3.8.3 Physical Artefacts**

Physical artefacts refer to a form of tangible evidence collected or observed during the research process (Oliver & Roos, 2007). They can include: tools, instruments, technological devices, documents, and pictures. Artefacts can be a significant element of the data collection due to its direct quality; however, supplementary evidence from other sources is often needed to put them into context. For example, some forms of evidence need to be ‘shown’ as they cannot be quantified or described (Gillham, 2001). The importance of artefacts is also conveyed through their power to bring energy to a report, empowering the reader to perceive it in the visual and cognitive sense (Gillham, 2001; Yin, 2009). Physical artefacts were collected within this research in the form of photographs (Gotschi, Delve, & Freyer, 2009). Within research, photographs can be used through two main avenues (Collier, 1957). Firstly, they can be used during the interview process as a means of observing and documenting how respondents interpret the photograph (Gotschi et al., 2009); secondly, they can be used to support the general analysis and findings or a study through providing pictorial evidence (Harper, 2003).

This study used the second approach to using photographs. This centred on artefacts in the form of photographs taken at the case sites. These images were taken in order to provide some pictorial testimony to the phenomenon being studied, and offered supplementary evidence to support the narrative which was derived from the other forms of data collection. These images were used throughout the findings chapter to illuminate interviewee narrative and offering further evidence to the reader. For example; pictures of Discovery Days events in Edinburgh, and branded signage at the Derwent Valley Mills, to supplement interview, (See Chapter 4, Figures 9 and Figure 13). The use of pictures in reporting the findings is reinforced by Gillham (2001, p. 88) who asserts, “physical objects may be part of the database you have to maintain. And good quality photographs of these at least need to be included in your report”.

### 3.4 Data Analysis

Within case study research, the data analysis procedure has been described as difficult and complex (Eisenhardt, 1989b). Miles and Huberman (1994, p. 10) highlight that qualitative data analysis commonly involves “three concurrent flows of activity; data reduction, data display, and conclusion drawing and verification”. Within case research the common approach is data reduction, followed by single within case analysis, then by cross-case analysis. However, Meyer (2001b) suggests the process is difficult and that many articles fail to discuss in length concerning their data analysis choices. With this in mind, Table 23 was created to identify the most common approaches within recent academic works within management.

Stage	Approach	References
Data reduction/coding the information	<ul style="list-style-type: none"> <li>Using themes derived from the literature, followed by the identification of emergent themes</li> <li>A thematic/template approach</li> <li>The themes evolve or are altered as the analysis progresses</li> </ul>	(Denis et al., 2001; Graebner, 2009; Halme et al., 2012; Keil et al., 2008; Laamanen & Wallin, 2009; Meyer, 2001a; Miozzo et al., 2012; Oliver & Roos, 2007)
	<ul style="list-style-type: none"> <li>Grounded theory/open coding/iterative approaches</li> <li>Relies on very little prior literature</li> <li>Constant/continuing comparison allows for codes to be consolidated throughout the analysis</li> </ul>	(Graebner & Eisenhardt, 2004; Hitt et al., 1998; Maitlis, 2005; Mattarelli & Tagliaventi, 2012; Santos & Eisenhardt, 2009; Shepherd et al., 2014; Teerikangas, 2012)
Within case-analysis	<ul style="list-style-type: none"> <li>The in-depth exploration of a single case as a standalone entity</li> <li>The data is reduced and involves the detailed reporting for each site individually, identifying various elements of the phenomenon and the relationships between them</li> <li>Through gaining acquaintance and a deep understanding of each case this can help hasten cross-case comparisons</li> </ul>	(Alvarez et al., 2005; Bingham & Davis, 2012; Fitzgerald et al., 2012; Gotsi et al., 2010; Hempel & Martinsons, 2009; Keil et al., 2008; Levay & Waks, 2009; Martin, 2011; Meyer, 2001a; Reay et al., 2013; Taylor et al., 2011; Teerikangas, 2012; Walsh & Bartunek, 2011; Yoshikawa et al., 2007)
Cross-case analysis	<ul style="list-style-type: none"> <li>Involves exploring the parallels and dissimilarities across cases</li> <li>Allows investigators to go beyond initial impressions, especially through the use of structured and diverse lenses on the data.</li> </ul>	(Clark et al., 2010; Denis et al., 2001; Ericksen & Dyer, 2004; Hempel & Martinsons, 2009; Keil et al., 2008; Lawrence et al., 2012)

**Table 23: Multiple case study analysis**

What is clear from Table 23 is that multiple case study analysis involves a process of data reduction and coding, followed by single, then multiple case analysis. Furthermore,

the approach to the procedure is dependent on the researcher's reliance on previous literature or their desire to undertake the examination from a grounded stance. The following sections provide an insight into how the data was analysed for this study.

#### **3.4.1 Data reduction - template analysis**

One of the first stages of data analysis is data reduction. This refers to the process where large amounts of gathered qualitative information are organised and reduced. However, reducing mass amounts of qualitative information is an arduous task, and so consideration of how data will be analysed is significant (Sang & Sitko, 2015). Within qualitative research there are a number of possibilities such as grounded theory, thematic and discourse analysis (Bryman & Bell, 2015). While each has their own merits this study took a differing approach. The initial stage of the data analysis entailed fragmenting the evidence into manageable elements through a process of coding (Walsh & Bartunek, 2011). Through coding, the gathered data could then be organised into meaningful categories. To accomplish this, 'template analysis' was embraced, and can be defined as "a structured technique for analysing qualitative data that enables researchers to place some order on their data from the start of the analytical process" (Thorpe & Holt, 2007, p. 221). Simply, template analysis is seen as an arrangement of codes and categories that exemplify themes exposed from the data gathering process (Crabtree & Miller, 1999). Through this, the researcher can classify and explore topics and relationships.

Unlike the other possible analysis techniques mentioned above, template analysis allows codes to be defined 'a priori', being drawn out from the literature and relating to common or significant themes which characterises the topic/theory of interest. Therefore, a strength of this technique is that the researcher has a moderately distinct direction to pursue in devising a strong structure for the analysis of the collected information (King, 2004b). Also, template analysis allows for the researcher to ascertain how recurrently predicted themes transpire within the collected evidence. This permits particular interpretations to be made about common experiences. Template analysis also allows for codes/themes to be added 'a posteriori' (King, 2004b; Swan & Scarbrough, 2005), meaning that the template can be modified as additional themes may be incorporated as the researcher examines and interprets the data (King, 2004b). The additional, or emergent codes, are important as they have the ability to highlight similarities and differences between cases.

To analyse the evidence from the semi-structured interviews and documentation this research employed a preliminary coding scheme which was created prior to the data analysis. This template included pre-defined themes which were relevant to the theoretical lens of research (see section 2.4, Table 10). As advised by King (2004b) careful consideration of the extensiveness of the template was undertaken, as too many pre-defined codes may restrict the investigation of more relevant issues and restrict analysis; while too few codes may lead to accumulation of vast amounts of dense and convoluted information. With this in mind, the researcher's predefined template was carefully articulated to prevent any of the above difficulties occurring.

In this study, as a starting point, this coding scheme was informed by the guide used to enlighten the interview process. Directed by academic literature, the guide was initially used to ensure that relevant information was gathered throughout the process. Identified prior to the data collection, lines of enquiry offered a starting point structure from which to fragment the information into a manageable and significant framework. The main 'a priori' coding scheme which guided this study is shown in Appendix 2. Using the initial template the researcher analysed the data assigning sections of relevant text to the appropriate code(s). However, before this process was undertaken, the interview transcriptions and the gathered documentation were read through a number of times in an attempt to gain a thorough understanding of the information and derive meaning from the narratives. After this, an analysis of each transcript and document was undertaken to identify and assign sections of text which could be associated to one or more of the codes.

As is common in template analysis, additional codes or modifications to themes is a part of the ongoing data analysis. This adaptive process permits the combining of deductive categories derived from the literature (allowing text to be organised for subsequent interpretation), with inductive themes that materialised from the data. This approach complements a study's research questions as it permits the tenets of theoretical lenses to be central to the analysis of the gathered data, while allowing themes to emerge directly from the evidence (Fereday & Muir-Cochrane, 2008). In this research, sections of text were identified that were important to the study but not covered in the initial coding scheme. Therefore, it was necessary to add additional codes. In this study, these were the themes of 'time' and 'resources'. This demonstrates the flexibility of the template



analysis approach as it allows for emergent and pertinent information to arise from the data analysis stages, adding potentially insightful and exciting evidence into the process.

As is conventional in qualitative studies, a level of analysis transpired throughout the data collection phase. This allowed for the template to be revised in response to evidence collected, and through the responses of participants who highlighted other key themes. This process is suggested by Eisenhardt (1989b, p. 539) to be essential to building theory from case studies as it allows the researcher to make “adjustments to data collection instruments, such as the addition of questions to an interview protocol” or “to probe emergent themes to take advantage of special opportunities which may be present in a given situation”. However, in doing so the researcher ensured that any implications of alterations had no significant impact on other codes within the template. Additionally, any changes that were made, and the reasoning behind it, were documented so that the researcher could revisit them for verification. A more iterative process of data analysis was conducted after the majority of evidence was collected. As mentioned previously, this allowed for emergent themes to be discovered and added into the template.

The analysis of the evidence also followed what King (2004b) describes as hierarchical coding. Through this, evidence was coded and clustered, hence developing groups of related codes assembled together to generate a more broad/general higher order codes. These higher-order themes provide a broader overview of what is being explored. On the other hand, lower order-codes are sub-themes within the higher-order codes. These lower order codes are important as they “allow for very fine distinctions to be made, both within and between cases” (King, 2004b, p. 258). For example, as Appendix 3 highlights, the higher order theme of ‘Managerial Environment – Situational/Structural’ also incorporated lower order codes such as ‘open communication’, ‘trust’, and ‘long-term relationships’.

When coding and analysing qualitative data, consideration on the type of approach must be deliberated. For example, the use of computer software to support the coding and analysis processes has become increasingly popular – for instance, CAQDAS programmes such as NVivo. The usefulness of such software is highlighted by King (2004b, p. 263) who argues, “they enable the researcher to index segments of text to particular themes, to link research notes to coding, and to carry out complex search and

retrieve operations ... computerization enables the researcher to work effectively with complex coding schemes and large amounts of text, facilitating depth and sophistication”. Other advantages of using such software include the enhancement of convenience and efficiency, as well as increasing validity and rigour (Bryman & Bell, 2015).

However, this research relied on the manual process of coding and analysing the evidence by the researcher without the aid of software. This was for a number of reasons. Firstly, unlike software which is associated with rigour, manual analysis allows for the researcher to continually focus on meanings and not become detached from the data. As John and Johnson (2000, p. 396) argue, “reduction of data [through software] can distance the researcher from the data, resulting in loss of meaning and context and creating sterile and dehumanised data”. Therefore, manual analysis fits well with the interpretivist paradigm in which this research resides (Bryman & Bell, 2015). Secondly, the mastering of software packages required time and resources which were unavailable to the researcher (Easterby-Smith et al., 2012). If this were to be perused, time available to perform an in-depth analysis and interpretation of the data would have been minimalised. With these factors in mind, manual coding and analysis was conducted. As Barry (1998, p. 3) suggests, “not every piece of software will be relevant to every task and researchers will often be able to achieve their ends using non-technology solutions or simple word processing cut and paste”.

After data analysis is conducted, the evidence must then be presented in a way which allows the researcher to illuminate the findings and discussion on their study. The way in which this research accomplished this will be discussed in the following section.

### **3.4.2 Within-case analysis and cross-case analysis**

The next stage of the exploration was to conduct within-case analysis and displaying the analysed evidence (Miles & Huberman, 1994). The general objective of within-case analysis is to become closely acquainted with each case as a standalone entity (Stake, 2013). Through this, the reduced data was used to develop a detailed report for each site individually, identifying various elements of the phenomenon and the relationships between them (Laamanen & Wallin, 2009). Through gaining acquaintance and a deep understanding of each case, this can help hasten the cross-case comparisons (Ericksen & Dyer, 2004). Therefore, the distinctive themes and patterns within each individual case

can be recognised (Miozzo et al., 2012). In this study, the findings were written into individual within-case reports. These detailed case descriptions were informed and accomplished through the amalgamation of the information derived from the various data collection techniques. The identified ‘a priori’ and ‘a posteriori’ themes provided a structure from which to organise and present the case descriptions. Each within-case report was structured the same to ensure consistency and an ease of analysis. Also, the within case analysis was supported by a number tables and figures to better summarise and illustrate key points.

In order to address the aim and objectives of this research, the concluding stage of the analysis involved exploring the parallels and dissimilarities across cases (Reay et al., 2013; Shepherd et al., 2014). Acknowledged as cross-case analysis, Eisenhardt (1989b, p. 541) states that this allows “investigators to go beyond initial impressions, especially through the use of structured and diverse lenses on the data”. Through using the categories pre-defined and emergent from the data, inferences were unearthed which highlighted the similarities and distinctions (Bingham & Davis, 2012). This cross-case analysis was written into one chapter (Chapter 5) and involved exploring the themes in relation to extant literature. This allowed the parallels and dissimilarities across the cases to be critically discussed, and in the processes allowing for the objectives of the research to be informed (Miles & Huberman, 1994). To help illuminate the data the researcher followed the advice of Miles and Huberman (1994) and Stake (1995, 2013), and created a number of matrix formats. For example, partially ordered meta-matrixes were used to compare common and emerging themes from the data analysis. According to Miles and Huberman (1994, p. 91) these data displays act as “visual formats that present information systematically, so that the user can draw conclusions and take needed action”. Such displays allow for the credibility of the analysis to be established (Ozcan & Eisenhardt, 2009; Shepherd et al., 2014).

### **3.4.3 Validity and Reliability**

The final stage of data analysis concerns summarising and verifying the conclusions of the results (Miles & Huberman, 1994). Huberman and Miles (1998, p. 181) describe this as “drawing meaning from displayed data”, and refer to tactics used to draw conclusions from the analysis, and how these can be deemed valid and reliable. Methods of verification in qualitative research are referred to as issues of trustworthiness (Lincoln & Guba, 1985). As Bloomberg and Volpe (2008, pp. 76-77) note, “Criteria for

evaluating qualitative research differ from those used in quantitative research, in that the focus is on how well the researcher has provided evidence that her or his descriptions and analysis represent the reality of the situations and persons studied”. Therefore, emphasis is on offering evidence to support that what the investigator has expressed epitomises the reality of the case. Table 24 identifies the main strategies used by multiple case study researchers in recent articles.

Strategy	Description	References
Triangulation of evidence	<ul style="list-style-type: none"> <li>Using at least three means to collect data. For example; interviews, observations, surveys, documentation, physical artefacts.</li> </ul>	(Hempel & Martinsons, 2009; Stake, 1995)
Triangulation of sources	<ul style="list-style-type: none"> <li>The use of a wide range of informants, different locations, or different time frames.</li> <li>Allows for perspectives to be verified against each other. Also, generates a richer picture of the attitudes and behaviours of those contributing to the research.</li> </ul>	(Gillham, 2001; Guba & Lincoln, 1998; Merriam, 1998; Stake, 2013)
Triangulation of researchers	<ul style="list-style-type: none"> <li>Can enhance the creativeness of the research and increases credibility/validity through multiple perspectives</li> </ul>	(Blumberg et al., 2011; Roome & Wijen, 2006)
Member checking	<ul style="list-style-type: none"> <li>Participants review drafts of written work or transcribed accounts where their words have been used. This allows informants to confirm or dismiss the interpretation of their accounts; and enhances the validity and accuracy of the conclusions.</li> </ul>	(Bryman & Bell, 2015; Håkansson & Isidorsson, 2012; Saunders et al., 2012; Stake, 1995)
Enhancing honesty	<ul style="list-style-type: none"> <li>Can be achieved through: ensuring confidentiality; allowing individuals the opportunity to refuse; reminding them of their ability to cease participation at any point. Allows for gathered data to be more authentic and reliable.</li> </ul>	(Bresman, 2013; Bryman & Bell, 2015; Guba & Lincoln, 1998; Yin, 2009)
Debriefing sessions	<ul style="list-style-type: none"> <li>Frequent meetings with fellow researchers or supervisory teams.</li> <li>Allows for ideas and alternative approaches to be discussed, and flaws and opportunities can be unearthed.</li> </ul>	(Dyer & Wilkins, 1991; Santos & Eisenhardt, 2009; Stake, 1995; Yin, 2009)
Thick descriptions	<ul style="list-style-type: none"> <li>There should be a complete and factual description of the entity being investigated.</li> <li>Emphasis is placed on rich detail, the context, feelings, thoughts, relationships, and meanings derived through spoken words and unspoken actions. Narrative and storytelling is key.</li> </ul>	(Bryman & Bell, 2015; Guba & Lincoln, 1998; Stake, 2013)

**Table 24: Strategies to enhance trustworthiness**

As Stake (1995, p. 108) highlights, “all researchers recognize the need not only for being accurate in measuring things but logical in interpreting the meaning of those measurements ... we have an ethical obligation to minimize misrepresentation and misunderstandings”. Therefore, there must be distinct accounting of the practices and processes utilised in collecting the data, its interpretation and assuring that biases have been regulated. As such, quantitative phrases such as reliability and validity replaced with terms such as credibility, dependability, transferability, and confirmability (Guba & Lincoln, 1998; Lincoln & Guba, 1985). Given the significance of the trustworthiness of research, the following sections describe how this study attempted to facilitate this.

#### **3.4.3.1 Credibility**

Credibility relates to the attempts to ensure that the researcher’s interpretations of the respondent’s perceptions correspond. Merriam (1998, p. 201) refers to credibility as, “How congruent are the findings with reality ... do the findings capture what is there?” This research employed numerous strategies to help confirm credibility and is discussed in the following sections.

#### **Triangulation**

Triangulation comes in differing forms and can enhance the credibility of qualitative research (Hempel & Martinsons, 2009). Firstly, multiple sources of evidence can be used to enhance trustworthiness (Håkansson & Isidorsson, 2012). For example, the procurement of documents may offer supporting information which may help explain the actions and opinions of those being studied, and to confirm specifics which have been supplied by individuals or groups (Halme et al., 2012). Secondly, researchers may also use triangulation of data sources. Examples include: different location, different groups of people, and different days or times of the year. This allows individuals’ perspectives and experiences to be paralleled and confirmed against others. Therefore, through the input of a wide variety of people, a more intense representation of the viewpoints, behaviours or experiences under examination can be produced (Blumberg et al., 2011). In this study, triangulation was used for three purposes: (1) to enhance trustworthiness; (2) to identify convergence of findings; and (3) to identify divergence (Stake, 1995, 2000). Firstly, this was accomplished through using multiple sources of data. This included interviews, documents, and physical artefacts. Secondly, triangulation of data sources included the interviewing of differing groups or people.

This included managers and representatives from a range of the organisations and bodies represented within each site environment.

### **Member Checks**

Member checking enhances research credibility. Such checks can occur throughout the process and involves actors inspecting drafts of written work where their words or actions have been presented (Bryman & Bell, 2015). Through this the actors can confirm or rebuff the accuracy of the interpretation as a means of augmenting the validity of the account. Despite this, not all feedback is noteworthy enough to be included in the report. As Stake (1995, p. 115) highlights, “the actor may be encouraged to provide alternative language or interpretation but is not promised that that version will appear in the final report”. Member checking played a pivotal role within this research. This included transcripts of the interviews, and drafts of written work, being sent to each participant for their inspection. Their feedback allowed the researcher to verify if their interpretation had been fully understood.

### **Debriefing sessions**

Throughout the process the researcher had frequent debriefing sessions with their supervisory team (Ericksen & Dyer, 2004). Through this, the researcher was able to debate the processes and issues which had been experienced throughout the procedure. The supervisory team were able to enlighten the researcher’s thoughts and perceptions through the emphasising of possible flaws and where differing approaches could be better suited. Additionally, these discussions provided a platform to develop ideas and were used to recognise possible bias within the interpretation of the data.

#### **3.4.3.2 Transferability**

In qualitative research, transferability refers to the appropriateness of the findings to other people and situations (Lincoln & Guba, 1985). In quantitative studies, samples are frequently chosen and measurements are utilised to assess the degree to which conclusions can be generalised. However, qualitative research is not created for the intention of producing generalisations as quantitative studies aspire to (Blaikie, 2009). Alternatively, focus is on thoroughly exploring and describing a phenomenon within a particular context (Denzin & Lincoln, 2000). As Stake (1995, p. 8) argues, “the real business of case study is particularization, not generalization”. Therefore, endeavours

regarding generalisation should be subordinate to the main purpose and strength of case study research in particularisation – specifically, developing a vigorous account and exploration of the distinctiveness of every case and its context (Stake, 1995, 2013).

Instead of quantitative inspired forms of generalisation, Stake (1995, 2013) places more focus on a context-specific and intuitive approach - naturalistic generalisations. Naturalistic generalisations are “conclusions arrived at through personal engagement in life’s affairs or by vicarious experience so well constructed that the person feels as if it happened to themselves” (Stake, 1995, p. 85). Therefore, naturalistic generalisation is a process where the reader acquires understanding through reflecting on the specifics and the narratives displayed in the case studies (Lincoln & Guba, 1985). As readers identify parallels and differences in the particulars in the case study and discover explanations that echo their own experiences, they reflect whether their circumstances are comparable enough to affirm generalisations. In other words, individuals relate beliefs and opinions from the detailed and natural interpretations in the case studies to their own intimate contexts (Rowley, 2002).

Therefore, a comprehensive account of the sample and the context in which the research is taking place allows other individuals to determine the degree in which the conclusions may be transferred to other situations and people, highlighting the necessity for thick case descriptions. As Eisner (2002) argues, reporting thick description can “enable the readers to emphatically participate in the events that the writer describes. To be able to put yourself in a place of another is crucial for understanding how the other feels”. As such, when employing a multiple case study approach each case must be scrupulously described and analysed firstly, preceding an effort to undertake cross-case comparisons. Despite these assumptions, qualitative researchers might make links between their findings and those from previous studies, generating conscientious associations across situations and people (Guba & Lincoln, 1998). For example, Stake (2013, p. 90) argues that “it would be a mistake if a multi-case researcher fails to disclose whatever generalizations appear evident from data, in a tentative way”.

Given the distinctive managerial set-ups which characterise different WHSs, not to mention there being over 1000 worldwide, the ability to generalise from this research would be challenging. This is not only due to the differences in ownership and legal boundaries which differentiate sites in the UK alone, but also because of the diverse

site-specific managerial arrangements which contain differing interests. However, in order to enhance some levels of transferability of the findings, the researcher ensured that each case was thoroughly explored and described in isolation before any attempt was made to investigate cross-case comparisons.

In an attempt for the reader to assess for themselves the potential for transferability, thick descriptions were used within reporting the single case study findings (Ericksen & Dyer, 2004; Stake, 1995), followed by a comprehensive analysis of the similarities and differences across cases. Therefore, this study's findings and discussion were written with considerable effort to intensify the readers experiential understanding through emphasising as much of the case's context and action as feasible. As Stake (2013, p. 90) emphasises, "because the reader knows the situations to which the assertions might apply, the responsibility of making generalizations should be more the reader's than the writer's. Furthermore, as indicated above, there is the expectation that multiple case study research should/could offer some generalisations for steering managerial policy and shared practice (Stake, 2013). While the managerial situations of the WHSs in this research may have different circumstances in comparison with the wider spectrum of sites worldwide, it is perceivable that some elements of the findings of this study could be transferable in situations where similarities collide.

#### **3.4.3.3 Dependability**

Dependability is concerned with demonstrating "indications of stability and consistency in the process of inquiry ... the underlying issue here is whether the procedures or techniques used in the process of study are consistent" (Riege, 2003, pp. 80-81). To deliver dependability this research encompassed three strategies. Firstly, an audit trail was created. This offers a detailed and comprehensive explanation of how the information was both collected and analysed. Secondly, a database was used to store, manage and convey the case information gathered throughout the research process. This contains information collected from the interviews, documentation, and artefacts. Importantly, this database allows external agents to explore the gathered evidence and to perceive where the researcher acquired the findings.



### **3.5 Research Ethics**

Ethical issues are important in research (Flick, 2014). Ethics can be described as “inquiry into the nature and grounds of morality where the term morality is taken to mean moral judgments, standards, and rules of conduct” (Taylor, 1975, p. 1). Such considerations are relevant throughout the research process and can take different forms. The following section will identify the ethical considerations pertinent to this study.

#### **3.5.1 Informed consent**

Informed consent must be obtained from potential interviewees (Zikmund, Babin, Carr, & Griffin, 2012). This implies that individuals understand the consequences of involvement (Flick, 2014). There are three conditions which are vital to informed consent; provision of information, understanding of information, and voluntary participation (Flick, 2014). For this study, these elements formed the foundation for the informed consent. Prospective participants were identified and contacted by email regarding their possible involvement. In this initial contact relevant information was provided and included: name and institution, the study’s rationale, why their input was sought. Following this contact, many of the potential interviewees requested further information such as: potential questions, and the logistics of where and when an interview would take place. The underpinning of informed consent rests on the honest exchange between social actors (Saunders et al., 2012). Therefore, all information requested was duly provided, with consent obtained through a truthful exchange between researcher and participant. Participants were also made aware of their right to terminate their involvement at any point (Orb, Eisenhauer, & Wynaden, 2001).

#### **3.5.2 Confidentially**

Confidentially can be challenging when research is conducted with numerous individuals from the same setting, therefore confidentiality must be managed so not to expose the participant to unnecessary vulnerability (Klenke, 2008). Confidentially was raised by numerous participants, the majority of which requested that their identity be classified. Therefore, anonymity dictates that the names of the interviewees, who they represent, and other recognising information be encrypted (King & Horrocks, 2010). Therefore, readers of this research will not be able to identify those who have participated and who they represent. Anonymity was also an ethical challenge during the interview process. Placing the researcher in a delicate situation, numerous

participants enquired as to other partakers. As revealing this information would compromise the research's ethical foundations, such material was not given and the reason why communicated (King, 2004a). As this study yielded information which was to remain anonymous, this required reflection on the security of interview recordings and transcriptions (Saunders et al., 2012). All participants were made aware that the information collected would only be used for the specific research in question and would be securely stored to ensure discretion. To accomplish this, all information was securely deposited on a password protected computer. Furthermore, all transcribed manuscripts were safely secured in a personal filing cabinet which required a key to gain access.

### **3.5.3 Avoiding harm**

Within research no harm should be inflicted on participants (Seidman, 2006). While the interviews may be an innocent exchange, consideration not to upset the interviewee or instigate psychological pressure should be given (King, 2004a). To ensure such problems did not surface, the interview questions were cautiously screened to safeguard against any inadvertent wrongdoing. This procedure included redrafting possible questions several times, as well as gaining feedback and advice from a supervisory team. Additionally, the researcher should not engage in a form of dialogue which could result in unsavoury political or legal consequences (Packer, 2010). In this research a number of interviewees had specific politician affiliations, specifically those elected as local authority representatives. Therefore, questions posed to interviewees were fashioned to ensure that no disrespect was displayed to their political ideology. It is also important that the researcher's political predilections did not induce and become evident during the interaction. Such a display may not only influence the answers given by the interviewee, but could also negatively influence the exchange (Israel & Hay, 2006).

### **3.5.4 Reflexivity**

To aspire to maintain the level of ethical consistency, 'reflexivity' has become a popular element within the research process (Bryman & Bell, 2015). This relates to the recognition that the researcher's input, as an absorbed participant in the research, influences the nature of the process and the evidence generated through it (Bryman & Bell, 2015). Consequently, the researcher should reflect on their involvement, just as

they contemplate on the significances of their participants' contributions. Authors have suggested avenues from which such reflection can be aided (Easterby-Smith et al., 2012). This includes the researcher recording their feelings about the research process in a journal, documenting their suppositions before commencing the study, and continually reflecting on them during different stages, and, finally, considering their own performance as an interviewer through analysing their interview recordings.

Personal reflection was inherent within this research. At the beginning of the process the researcher defined themselves as having no connections with any of the individuals and organisations in relation to the study. Furthermore, the researcher believed that their own political preferences would not carry any bias when interacting with possible interviewees within organisations, such as local authorities. However, this initial understanding was rather naïve, largely in relation to the use of Edinburgh as one of the case study sites. Being a resident of Edinburgh, the researcher contributes to local authorities through typical societal costs – such as council tax. Therefore, there are some connections with one of the bodies which play a leading role in the management of one of the cases chosen for the study. As such, reflexivity was important during the data collection and analysis stages as the researcher had to continually reflect and ensure that their own ideology and political preferences did not influence either stage.

### **3.6 Summary**

This chapter outlined the methodology used in this research. Primarily, it was documented why interpretivism is the favoured underlying philosophical position for this research. The chosen methodological approach of case study was discussed, taking into consideration some of its key elements, such as research design and selection of cases. Also highlighted were the selected data collection and analysis techniques employed, as well as consideration of the issue of the trustworthiness of research and how it can be augmented. Finally, ethical considerations surrounding research were also reflected upon. The evidence gathered from this methodological approach will now be presented in the following chapter.

## **4 Description and Analysis of Results**

The following chapter will display the findings generated from the data collection techniques employed to inform the aim and objectives of this research. The information produced from the semi-structured interviews, documentation and the collection of physical artefacts have been dissected through the processes associated with the data analysis technique embraced for this study – template analysis (King, 2004b). Through assigning evidence to specific theme(s), areas of interest were enlightened and an informed account produced (King, 2004b; Thorpe & Holt, 2007).

This chapter has been structured to offer an in-depth analysis of the findings of each case study site, with the dissected evidence organised into distinct segments to offer a clear and illuminating narrative. Therefore, this chapter focuses on the within-case analysis of each site, an important precursor before cross-case analysis is examined and discussed. Each case will display evidence based on the chosen site's overall complexity, its internal managerial environment, its external environment, and the main challenges it faces. To restate, the internal environment refers to those organisations and interests who are represented within the WHS management group or structure of the case sites. The external environment explores the engagement strategies used to capture the awareness of those interests outside this managerial framework and the perceived impact of these tactics. In line with the ethical expectations inherent in any research that involves people (King & Horrocks, 2010), throughout the following narrative the identity of the respondents has been anonymised.

### **4.1 Edinburgh's Old and New Towns Findings**

#### **4.1.1 The site's complexity and governance: An overview**

The intricacy of the Edinburgh's Old and New Towns WHS is evident by its size, resident and working population, and high density of businesses, institutions and public and private organisations. As respondent 5 highlights, "the WHS belongs to thousands of different people, but they all have to tie together". High levels of private ownership cause difficulties which can influence the site's integrity. As respondent 8 argues, "if you are dealing with a building at risk, the key problem isn't the building, it's the owner and their stubbornness".

The WHS is indistinguishably associated with the prosperity of the city as it is identified that “the values for which the site was inscribed create a beautiful and culturally vibrant city centre in which businesses and individuals want to be based. In turn, the economic success of the city ensures that businesses and individuals are better resourced to maintain their buildings”.<sup>1</sup> Tourism, which is a fundamental ingredient to Edinburgh’s economy, is also closely interrelated to its World Heritage status.<sup>2</sup> Therefore, central to the conservation and protection of the WHS is preserving its authenticity and OUV through supporting and maintaining a sensitive equilibrium between meeting the needs of the built heritage, residents, businesses, tourists and the economic and cultural welfare of the city. However, this is a challenge as these different interests have their own agendas beyond that of heritage. Furthermore, issues surrounding development and regeneration have tested the resolve of the relationships between different interests. Examples include the Caltongate development<sup>3</sup> and bin skip disputes.<sup>4</sup> Such tensions have garnered considerable media attention,<sup>5</sup> with the development issues, such as Caltongate, leading to a UNESCO mission in 2008.<sup>6</sup>

Since its inscription in 1995, the WHS has been managed by a World Heritage steering group encompassing the City of Edinburgh Council, Edinburgh World Heritage and Historic Scotland (see Table 25).<sup>7</sup>

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<sup>1</sup> Edinburgh World Heritage steering group (2012, p.10) *The Old and New Towns of Edinburgh World Heritage Site: Management Plan 2011-2016*, Edinburgh World Heritage steering group, Edinburgh

<sup>2</sup> Edinburgh World Heritage Steering Group (2012, p.35) *The Old and New Towns of Edinburgh World Heritage Site: Management Plan 2011-2016*, Edinburgh World Heritage Steering Group, Edinburgh

<sup>3</sup> The Caltongate development is a proposed £300 million improvement in an area of Edinburgh’s Old Town which lies between the Royal Mile and Waverley rail station. Heavily supported by the council, the development has been surrounded by controversy as numerous groups have contested that the impact will have negative effects on the integrity of the WHS.

<sup>4</sup> For many years residents heavily opposed the council’s proposals to use large communal bins within the WHS believing this would detract from the sites authenticity.

<sup>5</sup> BBC News, *Edinburgh World Heritage Site set for big bins* (25/11/2011); Edinburgh News, *Controversial Caltongate plan approved by council* (29/01/2014); Edinburgh News, *Councillors ‘not given details of Caltongate risks’* (31/01/2014); Edinburgh News, *John McLellan: Show us the money, Irvine* (14/03/2014); STV News, *Edinburgh may lose heritage status* (14/11/2008); The Daily Record, *World Heritage loss fears for Edinburgh over Old Town development* (08/07/2008); The Independent, *Scots literati lead battle against £150m Caltongate building project in Edinburgh’s historic Old Town* (11/03/2014); The Scotsman, *Anger at bin plan for World Heritage Site* (25/07/2003); The Scotsman, *Caltongate will ‘tear apart fabric of Edinburgh’* (11/03/2014); The Scotsman, *Fury as wheelie bins roll into New Town* (11/06/2003); The Scotsman, *Does Caltongate’s approval show heritage issues aren’t important* (19/06/2008); The Scotsman, *UN to probe new plan for Caltongate* (10/01/2012)

<sup>6</sup> In 2008, UNESCO head of Europe and North America, Dr Michtild Rossler visited Edinburgh for three days to review its World Heritage status. The ‘mission’ was the result of growing concerns over several developments within the city which many argue threatened the World Heritage status of the city; the Caltongate development in the Old Town, the transformation of Leith waterfront, the redevelopment of the St James Shopping Centre, and the rebuilding of the Cowgate fire site.

<sup>7</sup> Edinburgh World Heritage steering group (2011, pp.3-4) *Edinburgh WHS Management Plan 2011-2016*, Edinburgh World Heritage steering group, Edinburgh

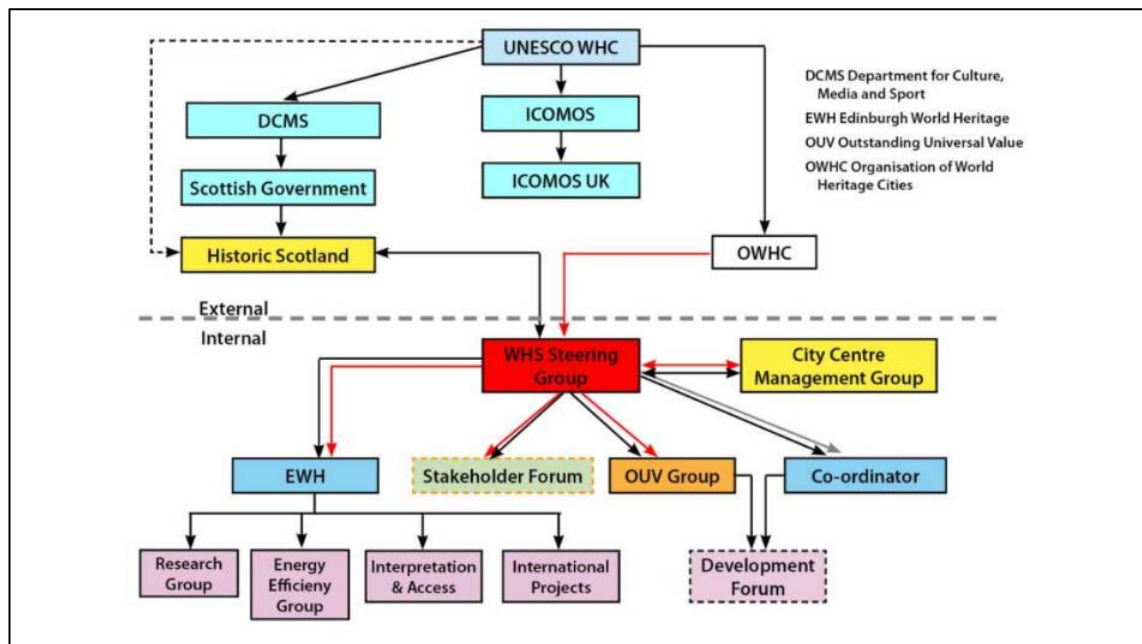
<b>Partner</b>	<b>Description</b>
Edinburgh City Council (ECC)	Is the public body which provides political leadership throughout the city. They are accountable for devising and implementing development plans and policies which influence the city's social and economic well-being. These policies also have an effect on the integrity of the WHS and cover issues from transport to planning and development. ECC is also responsible for the provision of public services that impacts on the daily life of the WHS; for instance waste disposal, public transport, and safety.
Edinburgh World Heritage (EWH)	Established in 1999 through a merger of the Old Town Renewal Trust and the New Town Conservation Committee, EWH is a private charitable body which is responsible for the execution of the management plan and implementing the work of the WHS steering group. Made up of professionals with differing expertise, this organisation operates at arms-length from the public sector. Their main responsibilities lie in: education and interpretation; promotion; advisory to ECC; influence decision-making; conservation; and building repairs.
Historic Scotland (HS)	Is an executive agency of the Scottish Government who is responsible for protecting Scotland's historical environment on behalf of Scottish Ministers. HS also ensures that any public policies conform to the regulations of the WHC. As a result, HS also has the power to list historical buildings for their protection if needed, and can question policy developments by Scottish Ministers and Local Councillors.

**Table 25: Edinburgh WHS partners**

**Adapted From: Edinburgh World Heritage steering group (2011) *Edinburgh WHS Management Plan 2011-2016*, Edinburgh World Heritage steering group, Edinburgh**

In addition to the main three organisations, at times a wider group also meets, and has included interests such as Scottish Enterprise and Essential Edinburgh.<sup>8</sup> As Figure 7 highlights, from this steering group, working groups which are coordinated through EWH, convene on a consistent basis to coordinate specific projects and implement the objectives of the management plan. Additionally, a WHS Coordinator is housed within ECC to ensure that World Heritage is given continual awareness and consideration within strategic decisions and documentation, and to ensure synergy between the steering group and their internal departments.

<sup>8</sup> Edinburgh World Heritage steering group (2011, p.71) *Edinburgh WHS Management Plan 2011-2016*, Edinburgh World Heritage steering group, Edinburgh



**Figure 7: Edinburgh's WHS management structure**

Source: Edinburgh World Heritage

Additionally, there is a stakeholder forum and an OUV group which allows for organisations which have an influential role within the site to be consulted and their voice heard within the governance system. The WHS steering group also convenes with the Edinburgh's City Centre Management Group who is responsible for issues such as signage, public realm and traffic. Lastly, the site is protected through numerous planning controls such as: Scottish Planning Policy (2014); the Edinburgh Skyline Policy (2008), the 2009 Edinburgh Local Plan; 75% of buildings being listed with Historic Scotland; the WHS's inclusion in Conservation Areas which cover the Old town, New Town, Dean Village and the West End.

### Management Plan

The steering group are responsible for the delivery of the site's management plan, which aims to "set out a series of objectives designed to ensure the protection of the Site in a way that meets international commitments and helps to align the actions of all parties involved in the management process".<sup>9</sup> The plan was developed with comprehensive consultation including direct and email notification, workshops, exhibitions, internet surveys, and a series of open meetings.<sup>10</sup> Through this, stakeholders were "allowed the opportunity to consider whether the draft Management Plan reflects the public

<sup>9</sup> Edinburgh World Heritage steering group (2011, p.2) *Edinburgh WHS Management Plan 2011-2016*, Edinburgh World Heritage steering group, Edinburgh

<sup>10</sup> Edinburgh World Heritage steering group (2011) *Edinburgh WHS Management Plan 2011-2016*, Edinburgh World Heritage steering group, Edinburgh

perception of the Vision for the World Heritage Site, the proposed Statement of Outstanding Universal Value and the Objectives for the implementation of the Vision”.<sup>11</sup> From this a vision for the site was created and identified as: “We share an aspiration for the World Heritage Site to sustain its outstanding universal value by safeguarding and enhancing the remarkable and beautiful historic environment. This supports a confident and thriving capital city centre, its communities, and its cultural and economic life”.<sup>12</sup>

Respondent 2 comments on the usefulness of this stating that “the discussions on how to write it are very important ... in everybody coming to an agreement about what their priorities are and how they see the World Heritage Site changing or evolving”. Supporting the management plan is two documents; an action plan which outlines and coordinates actions and projects that will be undertaken by the steering group in order to deliver the management plan,<sup>13</sup> and a monitoring report which is created biannually to observe the progress of the action plan and the condition of the WHS.<sup>14</sup> According to the management plan collective action is central to the successful implementation and protection of the WHS: “Partnership working amongst public agencies, institutions, private owners, business and the third sector is considered the most effective way of delivering results in Edinburgh, where the ownership of the World Heritage Site is diverse”.<sup>15</sup> Therefore, the site’s governance approach is important in providing a foundation from this be realised.

#### **4.1.2 Governance: The ‘internal’ environment**

##### **4.1.2.1 The managerial situation**

The WHS’s internal management structure offers an environment where the key partners have a platform to collectively promote the protection of the site’s OUV. As respondent 7 states, “the system we have allows for us to work collaboratively”. This is aided by members of EWH sitting on specific working groups both within ECC and HS.

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<sup>11</sup> Edinburgh World Heritage steering group (2011, p.81) *Edinburgh WHS Management Plan 2011-2016*, Edinburgh World Heritage steering group, Edinburgh

<sup>12</sup> Edinburgh World Heritage steering group (2011, p.xiii) *Edinburgh WHS Management Plan 2011-2016*, Edinburgh World Heritage steering group, Edinburgh

<sup>13</sup> All actions within plan are divided up between EWH, EEC AND HS. Source: Edinburgh World Heritage steering group (2012) *The Old and New Towns of Edinburgh World Heritage Site Action Plan 2012-2013*, Edinburgh World Heritage steering group, Edinburgh

<sup>14</sup> Edinburgh World Heritage steering group (2007/8 and 2008/9) *Old and New Towns of Edinburgh World Heritage Site Monitoring Report*, Edinburgh World Heritage, Edinburgh

<sup>15</sup> Edinburgh World Heritage steering group (2011, p. 62) *Edinburgh WHS Management Plan 2011-2016*, Edinburgh World Heritage steering group, Edinburgh



For example, this includes the City Centre Management Group and the ECC Streetscape Working group. Respondent 3 highlights the benefit of this, contending, “we pop up everywhere and that’s great ... because otherwise, there wouldn’t necessarily be awareness of World Heritage in all of these disparate parts”. Respondent 2 maintains this highlighting, “we share advice and guidance and all that kind of thing so it’s a good way then of strengthening that World Heritage message in these bigger organisations”.

Respondent 7 stresses the value of the stakeholder forum highlighting that, “this is about bringing in more people and giving them a voice in the management of the WHS but kind of the higher level. For example: Etap, art galleries and trading associations”. Respondent 8 highlights the importance of this stating that ... So much of what we do is about navigating our way around the different groups and their different needs and challenges and helping them understand where there is common ground and how they can get the best out of each other without doing each other over”.

#### **4.1.2.2 Communication**

Communication between key partners is vital. As representatives of the steering group sit on working groups together it provides the opportunity for views to be expressed openly. As respondent 2 highlights, “that means that I raise World Heritage issues. So when they’re talking about changing lampposts, I’m always there to remind them of the heritage aspect of that”. While challenging, others argue the need to ensure that communication between partners is constant. As respondent 8 argues, “it’s just a part of it, you build it in, it’s a bit of a balancing act sometimes ... we just have to keep the information flowing and stop people feeling that they have got to oppose individual things but actually try and make them part of the process as best as possible”.

This communication allows for views to be expressed freely. Respondent 10 maintains the value of this stating, “when we’re feeding in we try to get in before decisions are made and say ‘look, understand the outstanding value of the World Heritage Site, this is what it means in this context’, and offer advice before pen is put to paper so we don’t have to offer advice later on”. Ensuring World Heritage awareness is enduring within the steering group and key stakeholders, newsletters are also circulated highlighting the latest news of EWH projects and events. As respondent 3 contends, “We have about 2,500 people on the newsletter list and partly that’s us specifically trying to contact key people like Councillors, MSPs, and Council Officials”.

#### 4.1.2.3 The team/key individuals

An important component to the WHS's management is EWH. EWH act as champions of the WHS and have a pivotal role in coordinating projects and events. Table 26 outlines the roles within EWH.

Role	Description
Director	Is responsible for the leadership and overall management of EWH. They are accountable for EWH's employees, organisational and financial resources, and developing partnerships with a wide range of local, national and international interests.
International programme project manager	Is responsible for EWH's international profile through developing and managing global relations and projects. They are also in charge of EWH's social media presence.
Development manager	Is accountable for organising EWH's events and fundraising activities. They are also responsible for administering and developing the 'Friends of EHW' (see Table 28) and fostering links with Edinburgh's business community.
Graveyards development officer	This officer leads a joint project between EWH and ECC to help conserve and promote five graveyards in Edinburgh (see Table 31). This includes the two burial grounds of New Calton and Old Calton, and the three kirkyards of Canongate, Greyfriars and St Cuthbert's. The goal is to enhance local participation in the protection and maintenance of each site.
Communications manager	This role focuses on raising awareness and understanding of the WHS throughout the city and beyond. Responsibilities entail managing EWH's corporate communications, and enhancing education, interpretation and promotion of the WHS).
Head of outreach and advocacy	Is responsible for publicising the WHS to a wide range of internal and external stakeholders. This includes managing EWH's fundraising and membership activities, and directing media and digital outreach projects.
Conservation architect and grants manager	Works in collaboration with building owners and professionals on grant-aided schemes which aim to improve and repair Edinburgh's historic environment. This individual administers EWH's Conservation Funding Programme.
World Heritage Site project manager	This individual leads EWH's own projects. They also ensure that WHS concerns are integrated into all projects throughout the city, even ones proposed by the council. They also identify possible new projects, prepare funding bids and explore wider sources of potential income.
Sustainability officer	This officer engages and works in collaboration with Edinburgh's community in order to improve the energy efficiency throughout the WHS.

**Table 26: Edinburgh World Heritage: Roles and Responsibilities**

Source: Edinburgh World Heritage, *Edinburgh World Heritage Staff*, Available From: <http://www.ewht.org.uk/what-we-do/who-we-are/staff> (12/02/2016)

As Table 26 highlights, each member of EWH has a specialised role which contributes to the management of the WHS. As respondent 8 highlights, “you have a city being managed by ECC ... what we do is almost the gold plating, its adding extra value to it with a small team. Now, in one year we only have a limited impact but over ten, twenty years, the impact builds up to something special”. As a charitable trust it also has its own board of trustees and members drawn from the wider community, making them a bridge between different interests within the WHS. For example, members of EWH include representatives from Architectural Heritage Society of Scotland, The Cockburn Association, Edinburgh Old Town Business Association and numerous residents and street associations.<sup>16</sup> The value of this is emphasised by respondent 7 who argues, “when it comes to World Heritage, the fact EWH is there, it ensures the community view taken on board – because we are kind of a community organisation”.

EWH’s role is also advocated by respondent 9 who argues that, “they do an awful lot of work with so many people ... they have built up a lot of commitment in the city”. Respondent 4 maintains this and contends that, “they can sit back and give advice, dispassionate advice ... because they’re at arm’s length from the council and Historic Scotland and they can make recommendations and they’re not in everybody’s pocket”. Therefore, unlike ECC and HS, EWH have a less politicised role, meaning they can do things that public organisations would struggle to accomplish. For instance, EWH can attract funding from a broad range of sources such as grants, charitable trusts and private donation.<sup>17</sup> Being a charitable trust also means EWH have more time and vitality in dealing with difficult issues. For instance, recalling projects which are sometimes delayed due to specific individuals, respondent 8 highlights, “Some projects can become very difficult. It takes a lot of patience and negotiation on our part, but that’s what we’re here for. That’s our strength. Local authorities don’t have the time and energy where as we can”. The openness of EWH also means that they generate support. As respondent 2 highlights, “we work and are open to everybody and everyone ... because we have got a track record of doing things, or saying we will do something and we do it, we have gained the trust of the community”.

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<sup>16</sup> EWH (2014) *Register of Members*, EWH, Edinburgh

<sup>17</sup> EWH (2011-2012) *Edinburgh World Heritage Annual Review*, EWH, Edinburgh; EWH Conservation Update, *EWH has awarded grants for repairs in the Old Town* (12/8/2011)

#### 4.1.2.4 Partnerships in action

The steering group has also created a foundation from which partnership working has been undertaken. Table 27 draws attention to some of these and highlights the important role which team-working performs. As respondent 3 highlights, “it’s crucial, it’s one of those things where people often ask ‘what are the benefits of being a WHS?’ ... that necessary collaboration between significant bodies is what I would put right up at the top”.

<b>Project What? And Who?</b>	<b>Source</b>
<b>Twelve Monuments Project:</b> This project was a joint initiative between EHW and ECC aimed at restoring Edinburgh’s most important monuments and statuses. Examples include: the Bow Well in the Grassmarket; the Black Watch memorial on the Mound; the National Monument, Nelson Monument and Burns Monument on Calton Hill.	EWH Annual Review (2010-2011; 2012-2013); EWH Conservation Update, Twelve Monuments Project Update (7/2/2010); EWH Director Notes, Monthly update from EWH Director Adam Wilkinson (August, 2010; May, 2011); EWH News, Charles II statue the work of a master craftsman (31/5/2011); EWN News, Charles returns triumphant (19/4/2011); EWH News, St Bernard’s Well set to be restored (30/10/2012)
<b>The Scotsman Steps:</b> A joint project between EWH, ECC and the Fruitmarket Gallery resulted in the regeneration and restoration of the historic steps which once were part of the Scotsman newspaper offices.	EWH Annual Review (2010-2011; 2011-2012); EWH Director Notes, Monthly update from EWH Director Adam Wilkinson (August, 2011; March, 2012); EWH News, Scotsman Steps sparkle again (23/6/2011); EWH News, Scotsman Steps project wins Award (07/3/2012)
<b>Canongate &amp; Holyrood Initiative:</b> In an attempt to encourage more visitors to the area, a trail focusing on stories and the site’s historical buildings was developed. Members of the initiative include: EWH; ECC; Our Dynamic Earth; the Scottish Poetry Library, Edinburgh Museums and Galleries.	EWH News, Canongate & Holyrood Trail (5/11/2014); The Scotsman, Shunned half of Edinburgh Royal Mile set to shine (29/10/2014)
<b>Interpretation Panels:</b> Interpretation panels have been installed throughout the city to highlight the importance of some key sites. Panels were created and installed through collaboration between EWH, Essential Edinburgh and ECC on Rose and George Street.	EWH Annual Review (2013-2014)

**Table 27: EWHs partnership working examples**

As Table 27 highlights, partnership working has been instrumental in not only pooling resources, but elevating the protection of the WHS through raised consciousness of Edinburgh's historical significance. Figure 8 depicts some of these projects and highlights the practical approach to capturing people's attention.



**Figure 8: Results from partnership working in Edinburgh's WHS.**  
**Above to Below: Interpretation panel on Rose Street and on George Street**

The examples highlighted in Table 27 also underscore the magnitude of amalgamating resources. For example, respondent 3 argues, “we did some interpretation panels on Rose Street, funded by Essential Edinburgh, and that combining of resources is essential, without it it just couldn’t be done”. Respondent 2 suggests that this has made the ECC more open to collaboration: “the recession had a very good benefit in making them sort of step back from saying we are all powerful and we do everything, to thinking how can lots of groups achieve the same thing together and I think that’s a very positive thing that’s come out of all of this”. These projects have also often encompassed stakeholders which are not in the steering group, highlighting the collaborative nature in which the steering group operates. As respondent 3 highlights, “the three of us are in actual fact only one element of that partnership. So we’re the three that kind of come together for steering groups ... but the reality it’s many, many, many partnerships which allow the projects coming from it to be a reality”.

#### **4.1.2.5 Influence of the internal management environment**

The WHS’s internal management approach has had an influential impact on those bodies responsible for site governance. Firstly, there has been an embracement and heightened connection with World Heritage. As respondent 1 states, “we’re paid ... but we’re all involved because we really do believe in what this whole movement is about. When you see all the good work that’s gone in to Edinburgh it’s something you really start to believe in”. Others comment on it being a rewarding part of their employment. For example, respondent 9 highlighted that, “World Heritage issues are only a small part of what we do, but, over time, I think the outcome of this small part is great, I enjoy being a part of it ... it’s something fulfilling”. Such views are also held by respondents 5 and 1 who used the terms ‘pleasurable’ and ‘gratifying’ when describing some of their reasons, and outcomes, of their continual involvement.

Through working together, people have become more understanding of others’ viewpoints. For instance, respondent 7 argues, “One thing that has got a lot better is that we are now more aware of where a given body is coming from in another organisation”. Respondent 8 also highlights, “yes we have had disagreements, but we communicate with each other and work out the differences. It’s one thing that we have learned through years of working together. It’s all about talking to each other, working things out personally and honesty, and listening to each other’s ideas”. Respondent 9 supports this maintaining, “What everyone wants is the place to be better, but everyone wants it

to be better in a slightly different way, so it is a question of trying to establish what that way is. And that means making and accepting decisions as a group even if it doesn't exactly fit your own aims. It really is what's best for the site and that's a good thing".

The relationships built up through people engaging with each other in working groups have also had a positive effect, with levels of trust and personal relationships being fashioned. As respondent 3 empathises, "we have worked together on so many projects, and we have built up really strong relationships with the people from different organisations. We know them both of a professional and personal level". Commenting on the value of this, respondent 6 claims, "we have become friends and that helps bring people together and work towards the same goal. So we all understand what it is we are trying to protect, we're all working together to make sure that we're protecting that".

Others suggest that working on partnership projects has ignited a greater awareness and commitment of the need to work together. For example, recalling the successful impact of the Twelve Monuments Projects (see Table 27), respondent 10 states, "The council has really changed its attitude over the past few years. Now they are coming to us and saying 'let's do something about this', 'let's do something about that'". Additionally, respondent 2 continues and suggests that this awareness has resulted in issues regarding World Heritage to be more potent within different council departments:

"I get a lot of people phoning me up, asking me, you know, 'Somebody's asked for a new handrail in this location. What do you think?' And so they're recognising that there's a question to be asked so instead of just thinking, 'We'll just put the most utilitarian thing up', they're thinking, 'Ooh, this is the World Heritage Site. We'd better find out what's appropriate'".

Through collaboration, tensions between organisations have been eased. Respondent 5 recalls:

"The World Heritage Trust, at times, has interpreted its role as being quite vocally against things. That can be very counterproductive and it's something we have looked at with them ... And I am confident that that is working well, and we're seeing that with recent engagements with the planning system".

This is also stressed by respondent 4 who highlights that through time, relationships have strengthened through a better understanding of each other's roles: "So different

interests accept that not all decisions can go their way and it's taken, you know, with World Heritage Trust and ourselves it took about 10 years to really get this home". Furthermore, through the stakeholder forum and project working, organisations who once failed to comprehend the importance of World Heritage have also altered their views. For example, recalling his early experiences within EWH in 2005, respondent 3 identifies, "I remember I had the temerity to ring up the chairman of the Edinburgh Tourism Action Group to suggest I give a presentation on World Heritage and I was told 'I don't think what you do is in anyway relevant'. I now sit on their panel these days and the EWH Director chairs Edinburgh Tourism Action Group working groups. So people's views changes as they see the difference it can make".

### **4.1.3 Interests outside the governance structure**

On the peripheral of WHS's internal management structure are numerous stakeholders who are vital components to its long-term sustainability and protection.<sup>18</sup> As the management plan identifies, "One of the challenges ... is the translation of the Statement of OUV into a series of understandable and useful points which give people the ability to engage, take ownership and understand why the site is important".<sup>19</sup> In an attempt to confront this challenge various engagement strategies have been employed to enhance this and appreciation of the site.

#### **4.1.3.1 Representation**

Ensuring that the wider views of the WHS are represented within the decision-making process is essential. As respondent 8 argues, "In a city like Edinburgh you can't achieve anything if you do it by yourself. If you didn't involve them you would end up banging against a brick wall, whereas if they're involved from the start they have a stake in what you are doing". Consultation on strategic documentation allows for a level of representation. As respondent 3 identifies, "it forces you to go out to the people that you're meant to be serving, the people who are also helping you manage the site to say, 'What are the big issues?' And then build those issues in". Despite this, there is a sceptical view of such documentation. This is highlighted in the views expressed in the

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<sup>18</sup> Edinburgh World Heritage steering group (2012) *The Old and New Towns of Edinburgh World Heritage Site Action Plan 2012-2013*, Edinburgh World Heritage steering group, Edinburgh; Edinburgh World Heritage steering group (2005) *Edinburgh WHS Management Plan 2005-2010*, Edinburgh World Heritage steering group, Edinburgh; Edinburgh World Heritage steering group (2011) *Edinburgh WHS Management Plan 2011-2016*, Edinburgh World Heritage steering group, Edinburgh

<sup>19</sup> Edinburgh World Heritage steering group (2011, p.36) *Edinburgh WHS Management Plan 2011-2016*, Edinburgh World Heritage steering group, Edinburgh



consultation process of the sites 2012-2013 action plan with feedback including: “this document is writing and tabulating what should be happening but, as a resident, it is most definitely not happening”,<sup>20</sup> and, “Both Plans appear to demonstrate a rather patronising attitude towards Edinburgh citizens”.<sup>21</sup>

Representation is also presented through workshops or sharettes on developments which affect the WHS. As respondent 7 emphasises, “whenever there is a big issue to be solved you will always see a series of workshops and they’re always very well attended. People can come and see how they feel about their place”. Despite this, at times such approaches are not successful. As respondent 8 emphasises, “Sometimes a lot of results of these consultations go down the back of a sofa and nothing actually happens and that’s where the trust is lost”. Others suggest that despite consultations, difficulties in developing collective support is challenging. Commenting on the Caltongate development, respondent 6 expresses this difficulty: “I don’t think that it would have mattered if it was plated in gold and the most beautiful thing you had ever seen in your life there are some that would have seen it as a threat to the World Heritage status”.

#### **4.1.3.2 Raising awareness and reputation management**

Raising awareness of the OUV of the WHS is vital and Table 28 highlights examples of approaches used to build awareness. The site’s management plan highlights that “successful implementation of the plan is dependent upon all stakeholders. It is, therefore, extremely important to ensure that they are aware of the outstanding universal value and the content and purpose of the management plan”.<sup>22</sup> EWH’s role in this is significant as their aim is to “build awareness of the World Heritage Site and to engender a sense of custodianship and secure long-term support by promoting enjoyment, understanding and appreciation of its value and significance”.<sup>23</sup>

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<sup>20</sup> Edinburgh World Heritage steering group (2012, p.6) *Old and New Towns of Edinburgh World Heritage Site Action Plan – Finalised Version*, Edinburgh World Heritage steering group, Edinburgh

<sup>21</sup> Edinburgh World Heritage steering group (2012, p.13) *Old and New Towns of Edinburgh World Heritage Site Action Plan – Finalised Version*, Edinburgh World Heritage steering group, Edinburgh

<sup>22</sup> Edinburgh World Heritage steering group (2011, p.63) *Edinburgh WHS Management Plan 2011-2016*, Edinburgh World Heritage steering group, Edinburgh

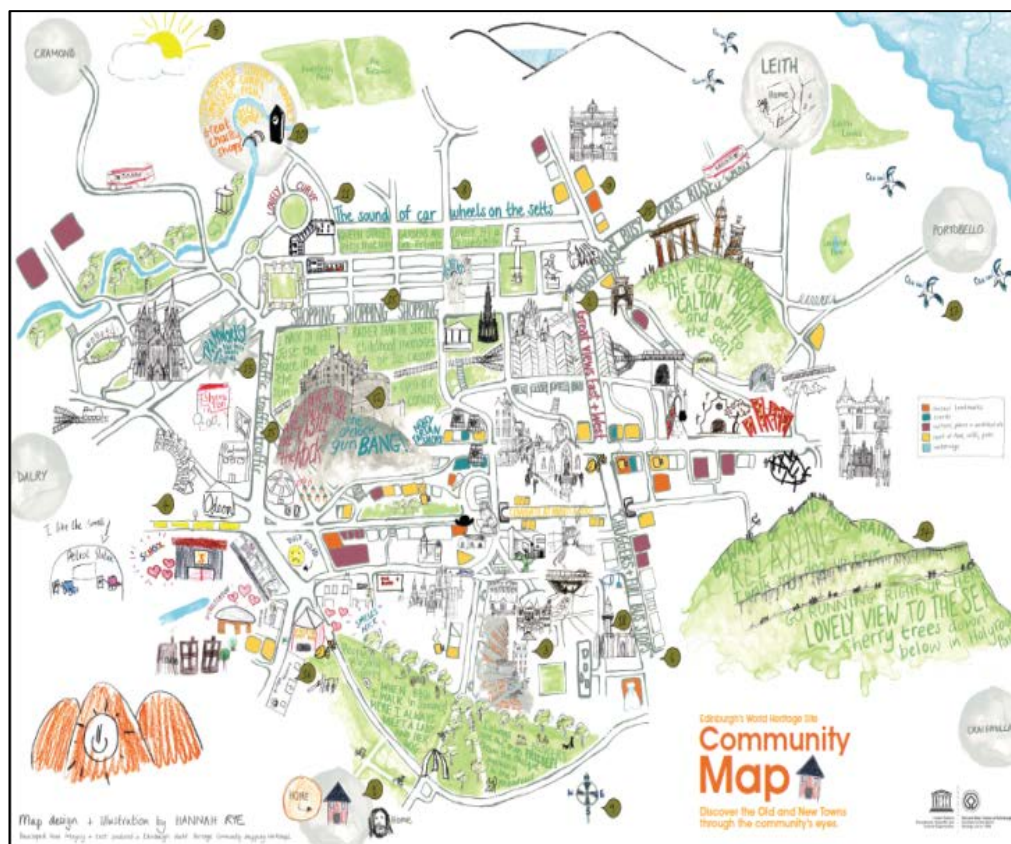
<sup>23</sup> EWH, *What We Do*, <http://www.ewht.org.uk/what-we-do> (20/1/2015)

Approach	Description	Source
Community Mapping	This project was undertaken in an attempt to reduce carbon emissions in the WHS by encouraging people to walk around the city and discover its exceptionality. Through a number of workshops containing diverse groups of people, a community map was developed which depicted the memories, smells, noises and people associated with the WHS. The results from the project were presented at an exhibition.	EWHS, Annual Review (2012-2013); EWH, Mapping the World Heritage Site (2012); EWH Director Notes, Monthly update from EWH Director Adam Wilkinson (February, 2013, 2014); EWH News, Community Mapping Project (22/03/2013); EWH News, World Heritage map on tour (13/11/2013)
World Heritage Business Opportunities Guide	In 2011, EWH in conjunction with the Edinburgh Tourism Action Group and the Scottish Enterprise published a business opportunities guide. This includes information on how they can use World Heritage status as a promotional tool. The guide illuminates the concept of World Heritage and how Edinburgh fits within this status. Throughout the guide is information useful for businesses as practical suggestions and advice on further information and contacts.	Edinburgh Tourism Action Group, Business Opportunities: Edinburgh: A World Heritage City (2011); EWH Director Notes, Monthly update from EWH Director Adam Wilkinson (February, 2011); EWH News, World Heritage Business Briefing (15/03/2011); Edinburgh WHS Management Plan (2011-2016)
Friends of EWH	Individuals can become a friend of EWH for £25. By doing so they are kept up to date with EWH activities and are invited to events. The group is also a way of generating funds for building repairs, for learning programmes and improving the streetscape.	EWHS, Annual Review (2012-2013; 2013-2014); EWH News, EWH broly contest (1/10/2014); EWH News, EWH Friends gather at Learmonth Terrace (27/10/2014)
Discovery Day Tour	During April, EWH as part of WHD, offer a week of tours highlighting the work of EWH and the value of the WHS. The week ends with a World Heritage Day lecture organised by EWH.	EWHS News, Scotland celebrates World Heritage Day (19/4/2011); EWH News, World Heritage Flag flies over Edinburgh (18/3/2013)
Publications and Social Media	EWHS has numerous publications which are used to promote the WHS and to promote the work that has been accomplished. This includes annual reviews, e-newsletters, and journals. EWH also has its own Facebook page and Twitter account.	EWHS, Annual Review (8 editions from 2006 to 2014); EWH Journal (1 to 4); EWH Management Plan (2011-2016)

**Table 28: EWHS strategies for raising awareness**

The approaches identified in Table 28 have provided some significant avenues through which EWH have been able to elevate the mindfulness of some of the WHS's stakeholders. As respondent 1 argues: "It's critical unless there's ongoing community

interest there is challenge because you need their support and cooperation". Figure 9 illustrates examples of strategies in Table 28.



**Figure 9: Examples of raising awareness**  
Above to below: Discovery Day talk at the Scotsman Steps on the 9/4/2014; the community map created by EWH and residents

The importance of these strategies is also useful for gaining media coverage. Examples have included successful restoration and repair projects of monuments and buildings<sup>24</sup>; projects which involve engaging younger generations, empowered communities and improving the WHS.<sup>25</sup> The significance of strategies, such as the business tool kit, is also championed by respondent 3 who highlights:

“When you’ve got businesses, its enlightened self-interest ... it’s just saying, ‘Well, in actual fact, do you ever wonder why you have an 80% occupancy rate throughout the summer? Well, here’s why. It’s because people are coming to visit the World Heritage Site. So your business is intrinsically linked with that’. You yourself are part of the story; tell the story”.

Additionally, while building awareness for those residing and operating within the WHS is important, effort is also engineered to ensure that this recognition spans beyond the sites boundaries and to different levels of the community. Referring to the business opportunities guide, respondent 8 stresses it’s “not just businesses within the WHS, but businesses outside as well ... one of the things that we must not forget is that although the WHS boundaries are a red line, it’s just a concept. Nothing changes when you step over that line and the benefits must spread well beyond to the rest of the city”.

#### **4.1.3.3 Education**

Many of the awareness strategies in Table 28 have a strong educational purpose. The merit of using the WHS as an educational tool is stressed by respondent 8:

“UNESCO status is a recognition, it’s not an active doer in itself, until you start to do something with it. It can be used as a means of educating people, not just about heritage and history, but you can use the historic environment to help teach mathematics or literacy or any other such subject”.

EWHS have implemented numerous educational approaches, some of which are highlighted in Table 29. The importance of an educational element to the WHS is stated

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<sup>24</sup> The Edinburgh News, *Calls to put Wojtek statue near London Road* (16/8/2013); The Edinburgh News, *Shabby Pound Savers store gets £138,000 makeover so it fits in on fringes of World Heritage site* (15/12/2012); The Scotsman, *Charity to front cash for shops’ revamps* (17/8/2011); The Scotsman, *Heritage trust has major role in protecting capital’s historic legacy* (7/4/2009); The Scotsman, *Monumental £3/4m boost will spruce up Edinburgh’s landmarks* (15/2/2009)

<sup>25</sup> BBC News, *Edinburgh’s New Town to get £90,000 allotments revamp* (14/3/2011); STV News, *City’s teenagers learns skills used to preserve Edinburgh’s historic buildings* (24/12/2011); The Edinburgh News, *Bovril’s city past used to promote Canongate* (6/11/2014); The Edinburgh News, *Bus tour focusing on World Heritage Site is launched* (2/4/2012); The Guardian, *Why World Heritage is ‘more than just a badge’* (16/4/2010); The Scotsman, *Bus tour focusing on World Heritage Site is launched* (02/04/2012); The Scotsman, *Plan for trust to promote city’s historic cemeteries* (5/4/2011)

within the management plan and asserts that “work needs to be taken further through a programme of education and awareness raising activities which ensure outstanding universal value is embedded in the decision-making processes around the city”.<sup>26</sup>

Approach	Description	Source
Learning Resources	The EWH website has a section on using the site as a teaching resource with cross-curricular opportunities. The site offers lesson plans, maps, images, trails, ideas for school and group visits.	EWB, Annual Review (2009-2010, 2010-2011); Edinburgh WHS Management Plan (2011-2016)
Heritage Detectives	Through a partnership with Circle Scotland and Daisychain Associates, EWH ran a project which aimed at introducing youngsters to the WHS through investigating its history. Those involved were from disadvantaged families and were at risk from being excluded from school, experiencing neglect or affected by their parents drug or alcohol use. The project concluded with a series of presentations drawing on the experiences of the young people, and starring some of the kids.	EWB, Annual Review (2010-2011); EWH Director Notes, Monthly update from EWH Director Adam Wilkinson (June 2011); EWH News, Bondi Brenda and the Heritage Detectives (21/9/2011); EWH News, Young people detect Edinburgh’s past (22/9/2011)
World Heritage Skills Taster Sessions	12 Leith Academy pupils spent five weeks learning about skills which are pertinent to the future of the WHS. This included decorative plastering, graining and marbling, and stonemasonry. The initiative was collaboration between the EWH, ECC, Telford College, and the Citadel and Junction youth centres.	EWB, Annual Review (2009-2010); EWH News, Children learn the secrets of Auld Reekie (30/03/2011); EWH News, Young people get a taste of the past (22/3/2011)

**Table 29: Educational approaches by EWH**

The approaches identified in Table 29 serve as possible mechanisms from which to garner a more conservation aware population where the cultural and historical potency of the city is better appreciated. For example, respondent 6 states, “If our young people can be brought up to understand ... it should be kind of a natural thing that you’re interested in your environment and the decisions that are taken that effect your environment”. Furthermore, respondent 8 highlights how through educational purposes World Heritage can be used to combat social problems:

“We did a trial run called Heritage Detectives ... we had boys and girls who were from varyingly troubled backgrounds and we said to them ‘ok, the challenge is for you guys to go out to these different sites and work out what

<sup>26</sup> Edinburgh World Heritage steering group (2011, p.36) *Edinburgh WHS Management Plan 2011-2016*, Edinburgh World Heritage steering group, Edinburgh

the myths are about them and what the real story is behind them’. And in a period of how many weeks it was the dropout rate was zero. Whereas these are kids whose schooling attendance records were absolutely dreadful, serious social problems”.

Despite this, respondent 3 suggests that “these projects are great; the only problem is that they require consistency, and that means time and money which is hard to come by”. Others suggest that more focus has to be placed on the concept of World Heritage. For instance, respondent 2 highlights that “more could be done. To be honest, here, that kind of education and learning kind of aspect is the least well-funded. It’s about getting things to that World Heritage level as opposed to the local history level”.

#### 4.1.3.4 Support

Providing stakeholder assistance is vital for its successful management. One of the main support mechanisms for stakeholders offered by EWH is through their Conservation Funding Programme<sup>27</sup> which has resulted in collaboration with many private individuals, and public, commercial, charitable and community organisations. Table 30 highlights examples of these projects that have supported private and commercial buildings, as well as support provided through publications.

Project and Description	Source
<b>Well Court:</b> In 2007, EWH granted a total of £1.1million towards the restoration of Well Court. This included repairs to the stonework, roof, windows, communal areas and the clock tower. Well Court is a Category A courtyard building situated in the Dean Village and required coordination between the site’s 52 different owners.	EWH, Annual Review (2006-2007); Edinburgh WHS Management Plan (2011-2016); The Scotsman, Overhaul for historic flats Well worth it (23/2/2007)
<b>Royal Mile Mansions:</b> Royal Mile Mansions, a building at the junction of North Bridge and the Royal Mills, received a grant from EWH of £1.4 million. The project included improvements to shop-fronts and repairs to the carved stonework. The project involved gaining agreement from 55 residential owners and 22 commercial proprietors.	EWH, Annual Review (2006-2007); The Scotsman, City heritage trust awards £1.5m grants (13/1/2005)
<b>Poundsaver:</b> The restoration of a Victorian shop on Nicolson Street saw improvements to the stonework and roof, as well as half of the shop front being re-painted in its original colours and	EWH Conservation Update, Latest on projects to restore community gardens at Gardner’s Crescent and a Victorian shop

<sup>27</sup> The EWH Conservation Funding Programme aids property owners to protect their buildings. There are two types of grants available: Repayable Grants for private owners and commercial buildings. Grants will cover up to 70% of the project cost and is repayable on the transfer or sale of the property; and Project Funding for public, community or charitable organisations.

the sign being altered. Currently being used as Poundsavers, the work cost £150,000 and was aided by a EWH grant.	front on Nicolson Street (24/1/2012)
<b>EWB Workshops and Home Owners Guides:</b> EWB have published numerous home owners guides aimed at giving advice specifically for owners of listed buildings on issues such as ironmongery, paintwork and roofs. EWB also has various workshops for home owners through their energy efficiency and sustainability initiative.	EWB, Annual Report (2011-2012); EWB News, Christmas DIY Energy Efficiency Workshop (2/12/12); EWB News, Energy Efficiency Workshop (11/10/2011)

**Table 30: Examples of support for private and commercial buildings in WHS**

Table 30 demonstrates the supportive nature of EWB in ensuring that the site's many owners gain the help they need to aid in maintaining and protecting their property and the integrity of their premise. As respondent 3 identifies, "We can't do any project without buy in from the community ... we simply don't have the wherewithal to just barge through with something. Everything that we do is done as a result of collaboration". Other forms of support have come in the form of community based projects which have allowed communities the leading role. Table 31 highlights a number of these.

<b>Project and Description</b>	<b>Source</b>
<b>Graveyards Projects:</b> Through community involvement, this project aims to increase the awareness and use of 5 graveyards within the WHS. The five graveyards are: Greyfriars, Canongate, St Cuthbert's Kirkyards and Calton Old and Calton New Burial Grounds. The project is co-ordinating a joined-up approach to revitalising these places so that they became well-loved community resources and allowing local themselves to take ownership of their management and maintenance.	EWB, Annual Report (2013-2014); EWB News, New friends for Canongate Kirkyard (29/5/2014); EWB News, New Graveyards Officer appointed (22/7/2013)
<b>Granny's Green:</b> Through a £25,000 grant the Patrick Geddes Gardening Club, with the support of EWB and ECC transformed Granny's Green in the Grassmarket into a community garden and space. Traditionally, the site was a washing and bleaching green for local residents.	EWB, Annual Report (2011-2012); EWB News, Granny's Green set to be transformed (24/4/2012)
<b>The Causey:</b> The Causey is a historical space near the University of Edinburgh. However, the area has become congested with cars. Led by the Causey Development Trust, set up in 2007 to engage local people and organisations, the project aims to recreate the space to one redesigned for people and free of cars. The project is supported by a EWB £30,000 grant.	EWB News, Support for the Causey (24/4/2012); EWB News, The Causey set to be transformed (30/11/2014)

**Table 31: Support for community led projects**

Table 31 highlights that community based and led projects are seen as a central theme to some of the EWB's approaches to ensuring that necessary support and engagement are

realised throughout the WHS. The significance of such support also resides within the additional benefits which exude from these projects (these benefits also reside in the partnership examples highlighted in Table 27). For example this includes: supporting traditional skills,<sup>28</sup> giving experience to graduates and the unemployed,<sup>29</sup> and social benefits.<sup>30</sup>

While there is monetary support, EWH is also open to individuals visiting their offices for advice. For example, respondent 10 states, “people do come to our office; they are more than welcome, our door is open, it builds trust on our part”. Even if the project is difficult EWH will maintain support. For instance, respondent 7 asserts, “with the repairs projects for big buildings where you have got five or ten owners. Say you have got ten owners in a block and one comes to us and we will try to enable the other nine to get on board”. Supporting community led projects is seen to be essential in ensuring they feel a sense of ownership. Commenting on the graveyards project, respondent 1 identifies: “there was the notion right from the start that they were potential candidates for community stewardship ... it’s about finding things that need to be done on a regular basis so that you can get regular involvement of the local community ... so you have this kind of difference between the local community being an audience and a participant in an activity but then also being part of the stewardship”.

#### **4.1.3.5 The influence of engagement**

Through engaging and supporting stakeholders, the steering group have been able to achieve beneficial levels of patronage to the WHS. Firstly, strategies such as the creation of the business tool kit has seen various establishments become prone to embracing World Heritage and making it part of their long-term strategy. As respondent 3 demonstrates: “We’re working with projects all over the city. Each in themselves small scale things but they all add up to the fact that more and more businesses are using the World Heritage status, quoting it on their websites, producing trails for

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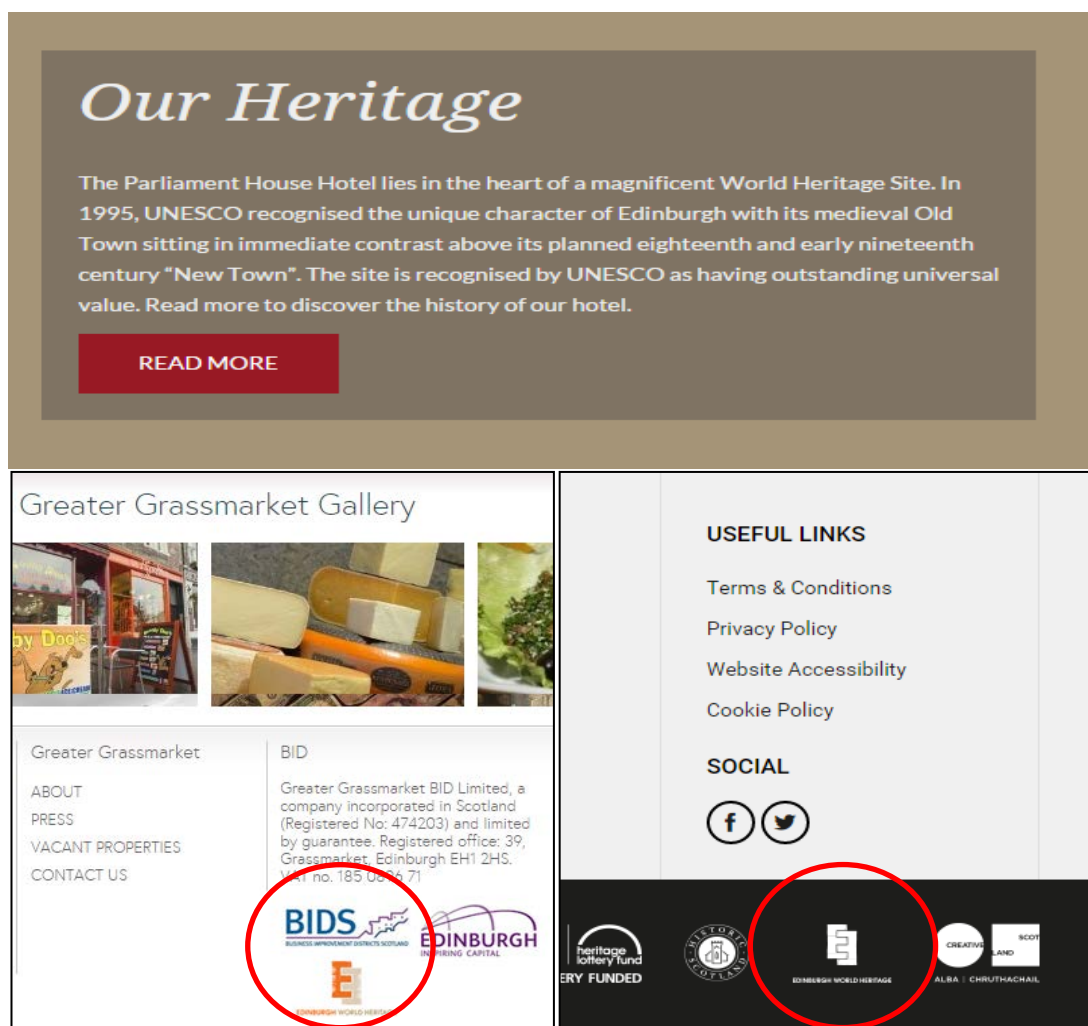
<sup>28</sup> Apprentices have been used in projects such as helping to conserve decorative dragons from Wardrop’s Court; and improvements to St Mary’s Episcopal Cathedral.

<sup>29</sup> As part of the Twelve monuments Project, the restoration of King Charles II statue on the Royal Mile involved two conservation graduates and two unemployed youths. This had massive benefits for both groups. The students got some work experience which essential to their future and getting; while the two young guys who were unemployed it gave them the opportunity to learn a some skills and get something for their CV

<sup>30</sup> According to respondent 2 the development of the Scotsman Steps has seen the site increasing its footfall and being popularly used as a path linking parts of the city and as a tourist attraction. A move away from the site which she describes was once, “a scary place; homeless people were staying there; muggings and it just wasn’t a safe and appealing place”.



visitors and this sort of a thing, it shows it's part of their long-term thinking". Respondent 8 also stated that, "[through projects and awareness strategies] we have seen a big difference through it, a lot of people committed and becoming more involved ... Our networks are expanding all of the time". Figure 10 highlights how several businesses have incorporated either the EWH logo or World Heritage into their online presence.



**Figure 10: Examples of businesses using the EWH logo and World Heritage**  
**Pictures: (top) Parliament House Hotel Edinburgh; (bottom left) Greater Grass market Gallery; (bottom right) The Edinburgh Assembly Rooms**

Through engagement people have also become more conservation minded. For example, respondent 10 emphasises:

“Through many of these projects people become engaged with their historic environment and they come to appreciate it a lot more. You know, being involved in a specific project which has an outcome ... people can see the difference they have made. It makes them more connected to heritage, they see it as their own; they begin to believe in what we are doing, and act more conservational in the long-term”.

Through the support and project working, trust has been able to be constructed with various stakeholder groups. As respondent 10 continues: “If you show people that we care for these buildings, that creates support itself. We have done so many projects now that people trust us, and that’s important. If the trust lasts then so does their propensity to act in a conservational and responsible way”.

Respondent 2 suggests that this trust is also grounded in the impartial approach by EWH when considering possible ventures: “It doesn’t matter if the job is a small project or a massive tenement building we look at each project individually. We don’t discriminate. If people see that we are here to help and believe in what you’re doing it creates commitment, it makes people want to preserve the place”. Such commitment is witnessed through the enduring support for specific projects and the success of schemes which have required a magnitude of differing interests to come together. For example, recalling the work done on the Royal Mile Mansion, respondent 10 highlights, “we had to get consensus among these groups in order to get some pro-action. It’s difficult; we can’t make them do what we want. How do we do it? Communication, we talk to them. And most of the time they come around. They see how it benefits everyone and makes people look beyond self-interest”. Others highlight the continuing success of the EWH led graveyards projects which has as seen the Friends group set up for New Calton Burial Ground and the Cannongate Kirkyard who are now leading in their maintenance and enhancement for the better of the local community and visitors. As respondent 1 highlights:

“It’s the kind of working partnership that can be used to inspire people’s involvement. And people are continuing to be involved, calling us up with ideas, asking for help. And the friendships we have made through such projects has been the key, it brings people together; people want to work with each other, it’s a friendly and trustworthy environment”.

Additionally, respondent 3 argues, “the community have a very long memory. And because we deliver and support these groups and engage with them, it has really brought everyone together. People are willing to help each other out whether it is time, money a bit of support”. For example, remarking on restoration of St Bernard’s Well, respondent 2 stresses, “for that project we raised £63,000 from the public - £63,000 from 56 different people. It took around 6 months, but it shows that there is a real willingness by people – and that they really care about these monuments”. Other projects have been

able to improve fragile relationships. For example, projects such as Granny's Green have resulted in ECC and local communities working together in a more harmonious fashion, paving the way for future ventures. Reflecting on the Granny's Green project respondent 2 highlights:

“It took three years but it showed the Council that the community were actually genuinely interested. They weren't just interested in criticising and being hostile and it showed those people that the Council would listen and would provide them with things that they desired. So there are big successes coming from this kind of working. It's like it's bringing the community and the Council closer together”.

These relationships built through engagement are reinforced by EWH encouraging those who they have worked with to various events. The significance of this is highlighted by respondent 3: “They get invited to our events so they see people that they've worked with and the friends they have made ... it changes peoples way of thinking. It's like you initially start off with people's own kind of self-interest but then by simply working with us you become part of our network and the bigger picture begins to emerge and it really does reinforce with people”. Through various engagement approaches, the concept of World Heritage has been reinforced or become more apparent to wider concerns. For example, commenting on helping owners with building repairs, respondent 3 highlights that, “the World Heritage bit in it will be something they will sort of pick up as part of the process but it won't be the reason they come to us, it'll be ‘my building, the place I live’, or ‘the place I own needs help!’ But creating that network is essential and it means people interact with you and support the whole idea of World Heritage by the end of it”.

#### **4.1.4 Challenges to cooperation and involvement**

Despite the significant levels of collaboration throughout the WHS there are numerous avenues which provide challenges. These will be outlined in the following sections.

##### **4.1.4.1 Conflicting agendas**

The first challenge resides in the differing agendas and interests of the main partners. As respondent 3 identifies, “as soon as you have three different bodies, funded in completely different ways with slightly different setups, then even though you might have come together on common ground, of course you've got separate sorts of interests in all of that”. Due to the different factions within some of the organisations this has

also caused challenges. For example, respondent 8 asserts, “Within the council you have got different camps, so you have got the economic development boys who are talking about one thing and the conservation folks talking about another thing. So you can get some very different views coming from within the council which creates tremendous tensions within the local authorities”.

Outside the steering group conflicting agendas are also inherent within wider stakeholder factions. For example, respondent 4 highlights that “there is something like 50 groups in the WHS in terms of community, but many of them came about because of single issues, and they only come to life about a single issue from time to time”. This has led to challenges where relationships and trust become damaged. Respondent 11 asserts that, “I would say it becomes bad when one side thinks ‘I’m going to lose this’ and just does everything in their power to stop something. That’s where the consultation kind of kills itself because it becomes not consultative but confrontational”.

Commenting on the Moray Feu Residents Association<sup>31</sup> concerns regarding air pollution in Edinburgh’s New Town, respondent 7 highlights that “they started talking to the council but no one really knew what to tell them. So I think they ignored them a bit. What happened was they got angry, found a lawyer and they started writing letters to whoever they could. And they started with the WHC – so air pollution became a World Heritage issue”. Despite this, it is argued that a level of pragmatism is needed when considering different views and decisions which affect the site. As respondent 4 suggests, “Over the last few years, developments such as Haymarket and Caltongate have damaged the trust among some stakeholders. But we have to remember you are never going to please everyone. Everyone has views on how the city should be developed and conserved. It’s a balance – you are never going to appease everyone”.

#### **4.1.4.2 Need a better understanding of World Heritage**

Some of these challenges are suggested to stem from a lack of understanding of what World Heritage pertains and what protecting its OUV is about. This is pertinent in concerns often raised by issues concerning developments within the city which have led to tensions within the stakeholder network. For example, respondent 9 argues, “one of

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<sup>31</sup> The Moray Feu Residents Association continually challenged the council’s plans for the tram system due to the increase in noise and air pollution that would be caused due to diverted traffic onto residential streets. Due to their lack of progress with the council the group contacted the WHC and UNESCO about the issue. In 2012 they won a UN ruling against ECC regarding a breach of an international agreement on access to information.

the elements of the OUV is that people continue to work and live in Edinburgh. There are lots of WHSs where come 5pm in the evening they die because everybody leaves or it shuts down because it is an attraction. So keeping it vibrant, keeping it alive, is part of its OUV". This is supported by respondent 8 who maintains that conservation and development, "should be seen as one of the same, or two sides of one coin. If you're going to conserve a place, you're going to be doing some work to it and you will be adapting it one way or another ... it's very easy to frame it as conservation against development. Good development which takes into account its place, or the place around it, will automatically be a positive thing for conservation".

Others suggest that even though most groups are aware of WHS status it causes difficulties which can damage existing relationships and create a barrier to constructive relationships. For example, respondent 8 highlights, "Our residents generally 100% get it, they really understand it and are absolutely passionate which is why you get such entrenched views and big arguments ... people tend to take sides very quickly and leap into their trenches, shove on tin hats, and start throwing hand grenades at one another, which isn't terribly helpful". The power of these fractured relationships can lead to difficulties in reaching consensus within the WHS. Recalling on the 2008 UNESCO mission to the WHS, respondent 3 identifies, "the other thing, of course, to bear in mind is that many residents in Edinburgh are keenly aware of all of that already and have, you know, when planning disputes have come up, kind of bypassed the Council and just gone straight to the World Heritage Centre". Furthermore, some even use the status as a means to promote their own cause. As respondent 6 argues, "people will use any designation, natural, built, whatever, to fit their cause ... some go, 'we don't want this waste incinerator in Leith because it will impact on the World Heritage Site', hmmm not quite sure I buy that one. So, you know, you do get that".

#### **4.1.4.3 Time**

Essential to the prosperity of the WHS management is the issue of time. Respondent 2 emphasises this, arguing that "you can't solve every problem overnight. All we can do is our best and the influencing and trying to help sensible decisions being made about things. But it does take time". The significance of time is important to the negotiation and successful implementation of possible projects, not simply in monetary terms but in persuading private owners. As respondent 8 highlights, "it comes down to the owner and their attitude. So if you're dealing with a building at risk owned by the council or

privately owned one then you have got to get the right person and it takes time and then you have get agreement through the system and everything else”.

Respondent 2 also highlights the importance of time being central to developing relationships throughout the city: “projects aren’t over in a week, they take months. Once people see that you’re committed and the hard work you’re putting in they become supportive and I think it really sticks in their minds. Over time, people come to realise that the decisions we and they have made have been worth it”. This is echoed by respondent 8 who states, “when I arrived, we had lost the trust of business, probably never had it in the first place. So we had to spent a lot of time building that up as well, really by talking to them and saying, ‘actually look, we’re not out there to block things, rather to make things happen and here’s what we’ve done’, and making people more aware of what it is we have achieved over the past 10/15 years”. Despite this, time can be problematic due to pressures on individuals and groups own interests. For example, respondent 9 argues “one of the big problems is getting people to engage with you ... because unless it is going to directly impinge on them, people are busy; they are getting on doing their business lives. So actually getting them to give you ten minutes of their time, or time to explain what you’re trying to do, can be quite challenging”.

#### **4.1.5 Edinburgh’s Old and New Towns WHS summary**

Edinburgh’s WHS highlights the complexities of managing a site characterised by copious public/private organisations, businesses, and a resident and working population. However, protecting the WHS’s OUV is challenging due to the multifaceted nature of its stakeholder network, with many of these interests having agendas beyond that of heritage. However, a collective approach to site management and a level of commonality among its diverging interests is important. In order to effectively manage the WHS a steering group consisting of ECC, HS and EWH is in place. This core group not only creates and attempts to implement the site’s management and action plan, but offers strategic direction and a point of contact for the sites many stakeholders. The steering group is also supported by a WHS coordinator and a stakeholder forum which contains some of the WHS’s main stakeholders.

The case indicates that this managerial approach has offered a foundation from which the main stakeholders have been able to congregate and construct effective partnerships, developing a platform for an effective approach to safeguarding the WHS’s OUV.

Furthermore, this has provided an opportunity for the differing interests to engage in levels of constructive discussion which has allowed better working relationships and a better understanding of each other's concerns. The case further advocates that open forms of communication and partnership working has been a vital ingredient to the successful management of the site. The role of EWH is underscored as fundamentally important within the WHS. Not only does EWH act as a form of community group, but offers a level of support and project working that would not be able to be accomplished by its public partners. This internal environment of Edinburgh's WHS management approach is highlighted to have had a significant influence of those within it. This has entailed: heightened awareness of and commitment to the WHS; interests becoming more understanding of each other's viewpoints; relationships and trust being fashioned between opposing organisations; emotive relationships developing, and groups becoming more accepting decisions based on the collective rather than on individualistic interests.

Outside the WHS's internal management structure are stakeholders, which both the steering group and the management plan highlight to be important for successful site administration. To promote stakeholder support and involvement, strategies have been employed to intensify their inclusion and awareness. This includes: representation, raising awareness and reputation management, education, and through support. Through these approaches, a number of benefits have been realised. This includes: heightened stakeholder awareness and commitment, trust being developed, heightened patronage being displayed through projects which have raised large amounts of money, and a network of personal and professional relationships being constructed. While levels of collaboration have seen to be nurtured throughout the WHSs, the findings also draw attention to several obstacles which have averted collective action. This entails the differing agendas and interests of the stakeholders involved, trust being lost through city developments, the issue of time, and a limited comprehension of what World Heritage represents resulting in relationships breaking down.

## **4.2 Derwent Valley Mills Findings**

### **4.2.1 The site's complexity and governance: An overview**

The Derwent Valley Mills WHS (DVMWHS) includes a collection of eighteen and nineteenth century cotton mills and an historical industrial landscape. Spanning 24km from Matlock Bath to the heart of Derby, the site is also home to over 30,000 people, with over 800 listed buildings, highlighting the complexity of the WHS's stakeholder network.<sup>32</sup> Additionally, almost two-thirds of the vital properties and the bulk of other buildings are under private ownership, some with their own strategic plans and documentation. The WHS is also protected by statutory controls which function under the provisions of the Town and Country Planning Act (1990) and the Planning (Listed Buildings and Conservation Areas) Act (1990), and a network of national and local strategic planning policies and documents. The site also falls within thirteen Conservation Areas.

However the site's sheer size has meant that its stakeholders play an important role: "Due to the nature of the property, the ownerships and interests are numerous, especially within the urban areas ... private owners therefore have a key role to play in respecting and promoting the OUV as well as supporting the delivery of the Management Plan".<sup>33</sup> Therefore, the need for different stakeholders to work together is essential. Coordination of these many interests is tackled through the site's governance approach. This approach is outlined in Figure 11. As Figure 11 depicts, the WHS is managed through a board, which meets three or four times per annum, and is responsible for establishing the site's strategic course and the creation and delivery of the management plan.<sup>34</sup> This board is composed of eleven members derived from local authorities, businesses and the tourism industry, and is the decision-making branch of the site's partnership forum. The partnership forum, which convenes twice per year, is composed of over thirty representatives from different organisations such as local authorities, voluntary organisations, conservation bodies, and regional agencies. This offers differing partners a chance to correspond with the board and each other, and the Board with the opportunity to communicate with them (see Figure 11).

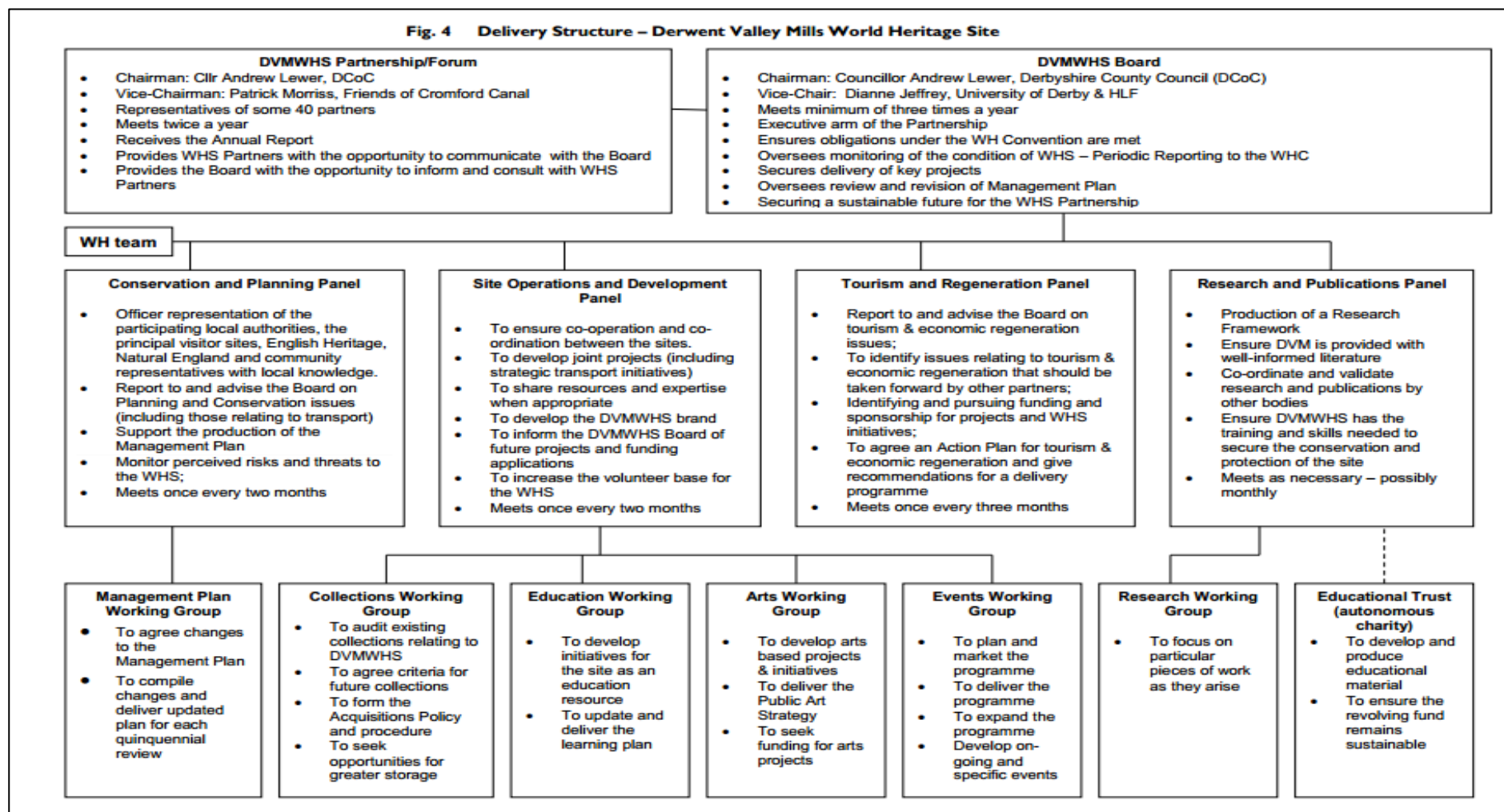
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<sup>32</sup> Derwent Valley Mills Partnership (2002, pp.25-26) *DVMWHS Management Plan 2002-2007*, Derwent Valley Mills Partnership, Derbyshire

<sup>33</sup> Derwent Valley Mills Partnership (2002, p.26) *DVMWHS Management Plan 2002-2007*, Derwent Valley Mills Partnership, Derbyshire

<sup>34</sup> Derwent Valley Mills Partnership (2013, p.27) *DVMWHS Management Plan 2013-2018*, Derwent Valley Mills Partnership, Derbyshire





**Figure 11: DVMWHS management delivery structure**

Source: Derwent Valley Mills Partnership (2013, p.33) *DVMWHS Management Plan 2013-2018*, Derwent Valley Mills Partnership, Derbyshire

Stemming from the site's Board and Partnership Forum is four 'panels' which contain members of the Partnership Forum. These include: Conservation and Planning, Research and Publications, Site Operations and Development, and Tourism and Regeneration. The projects and work resulting from these panels are delivered through a number of 'working groups' and include the following areas: collections, arts, education, events, research, and the management plan.<sup>35</sup> Supporting all layers of this managerial approach is a designated WHS Team which has five officers, all of which are located within Derbyshire County Council. Table 32 provides an overview of the roles and responsibilities of this team

<b>Role</b>	<b>Description</b>
<b>Director</b>	Responsibilities include: raising local, national and international awareness of the site, developing and delivering the sites vision and action plan, obtaining economic sustainability for the site's projects and team, the lead officer for the operations and development panel, and overseeing the work of the team.
<b>Heritage coordinator</b>	Duties include: coordinating the teams activities to ensure their projects meet the objectives promoted by UNESCO, directing festivals and events, supporting the site's panels, volunteer engagement, monitoring planning issues, managing site communications, and fostering and developing stakeholder relationships.
<b>Development coordinator</b>	Responsible for: developing site strategies in relation to economic development, tourism, and marketing. This role also has the duty of coordinating and supporting funding bids throughout the site. Other responsibilities entail: branding development, volunteer expansion, project working, liaising with the mills, and providing support to the WHS panels.
<b>Business services assistant</b>	Duties include: being the first point of contact for WHS enquires, providing administrative support for the WHS management structure, developing links to local businesses, coordinating the WHS team's activities, analysis of stakeholder feedback, and managing the site's social media.

**Table 32: The Derwent Valley WHS Team roles**

**Source: The Derwent Valley (2016) *The Team*, Available From:**

**<http://www.derwentvalleymills.org/derwent-valley-mills-world-heritage-status/management-of-the-derwent-valley-mills-world-heritage-site/the-team/> (12/02/2016)**

As Table 32 highlights this team includes: a director, heritage coordinator, development coordinator, learning and events coordinator, and a business service assistant. These individuals work with, and support, the board and the range of panels and working groups.

<sup>35</sup> Derwent Valley Mills Partnership (2013, p.32) *DVMWHS Management Plan 2013-2018*, Derwent Valley Mills Partnership, Derbyshire

Supporting the governance structure and providing a long-term strategy for protecting the site's OUV is the 2013-2018 management plan. This plan recognises the need to protect the site as a whole, not simply a collection of individual sites as it states: "The primary purpose of the Management Plan is to sustain the Outstanding Universal Value of the Site. This will be achieved by ensuring the effective protection, enhancement and promotion to present and future generations".<sup>36</sup> An action plan identifies the management plans key aims and pinpoints the responsible organisations and an indication of timescale, costs and a monitoring measure.<sup>37</sup>

The consultative nature in which the management and action plans are developed also help foster long-term relationships between key organisations. Therefore, the plan produced is said to be "owned and agreed by the stakeholders within it".<sup>38</sup> As respondent 12 highlights, "the Management Plan is created through a partnership approach and allows different interests to take ownership of it, it's theirs". The significance of the governance approach and the management plan is resounded by the assertion that: "The DVMWHS is a complex partnership and the success of this Management Plan will require the support and participation of all the partners and stakeholders".<sup>39</sup>

The plan also aims to be fully inclusive of a wide range of interests, identifying over 50 'key' stakeholders. Despite this, the site's multiple interests and ownership pattern has rendered such expectations to be difficult. As respondent 16 states, "there are many differing interests and trying to bring all this together in some cohesive way is extraordinarily difficult". Therefore, central to the successful management of the site is ensuring that there are certain mechanisms in place which allow for differing interests to come together.

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<sup>36</sup> Derwent Valley Mills Partnership (2013, p.19) *DVMWHS Management Plan 2013-2018*, Derwent Valley Mills Partnership, Derbyshire

<sup>37</sup> Action Plan Examples include: Aim 6, Policy 10.2 (Develop educational resources based on the DVMWHS) is the responsibility of the DVMWHS, Derby City Council, Arkwright Society and the Belper North Mill Trust); Aim 3, Policy 5.2 (Conduct Citizen's Panel survey on DVMWHS annually) is the responsibility of the DVMWHS and the Derbyshire Dales District Council. Source: Derwent Valley Mills Partnership (2013, pp.86-107) *DVMWHS Management Plan 2013-2018*, Derwent Valley Mills Partnership, Derbyshire

<sup>38</sup> Derwent Valley Mills Partnership (2013, p.3 and p.20) *DVMWHS Management Plan 2013-2018*, Derwent Valley Mills Partnership, Derbyshire

<sup>39</sup> Derwent Valley Mills Partnership (2013, p.84) *DVMWHS Management Plan 2013-2018*, Derwent Valley Mills Partnership, Derbyshire

## 4.2.2 Governance: The 'internal' environment

### 4.2.2.1 The managerial situation

Central to the DVMWHS is an environment of collaboration,<sup>40</sup> where the site is “managed by a strong and trusted partnership where the people living and working within it engage in the process of management. A place where the role of the property owner is recognised within a collaborative framework”.<sup>41</sup> The governance approach, notably the partnership forum, is recognised to offer a platform from this to emerge. Respondent 19 highlights the forum’s significance arguing, “It’s very important because that’s the people’s part to all of this and a WHS like we have here really does need people to have a buy in”. Respondent 13 supports this, suggesting that the forum allows different groups to get together and feel like their concerns are respected: “the big challenge is always, ‘What is the purpose; what are we here for?’ They do need to feel that connection and that their interests are being taken notice of and that they’re really feeding something worthwhile; the forum does this”. Despite this, respondent 22 conveys concern regarding the forum highlighting that, “it’s huge, about 40 different organisations that all came together and all have, very much, their own interests. There’s very little room for manoeuvring and coordination, let alone listen to everyone’s opinions”. Therefore, the forum’s size has meant it is difficult to manage dialogue between the organisations within it.

However, stemming from the forum, the panels and delivery groups offer a more focused approach and are inhabited by forum representatives.<sup>42</sup> For example, respondent 21 stresses that, “it’s a useful sort of mechanism (the Conservation and Planning panel) for people to sit round the table and actually try and talk things out, discuss issues and get second opinions”. Respondent 20 also notes that, “it goes a stage further than the partnership forum where it’s a bit difficult to get things ironed out, because we discuss these round the table. That’s where you start to create partnerships”. While some panels do receive praise, others are questioned. For example, respondent 13

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<sup>40</sup> DVMWHS Annual Monitoring Report: (2010, p.20); (2011, p.26); (2012, p.14, p.21); DVMWHS Economic Development Plan (2005, p. 44); DVMWHS Tourism Strategy (2011-2016, pp. 4-5); Interpretation Plan for DVMWHS Partnership (2011, p.15)

<sup>41</sup> Derwent Valley Mills Partnership (2013, p.25) *DVMWHS Management Plan 2013-2018*, Derwent Valley Mills Partnership, Derbyshire

<sup>42</sup> . For example, the Site Operations & Development Panel contains: the Masson Mills Museum manager, the Chief Executive of the Arkwright Society, the Strutt’s North Mill manager, the Head of Derby Museums and Galleries, a representative from Smedley’s Mill, a representative from Darley Abbey Mills, and the DVMWHS Team. DVMWHS Website, *Management of the WHS: Site Operations & Development Panel*, Available From: <http://www.derwentvalleymills.org/index.php/management-of-the-whs/siteopsanddev>

argues that they “work fairly well with some groups and less so with others ... Site operations is more complicated because there’s a lot of vested interests in there”. However, this mentality is claimed to be unsurprising. As respondent 18 argues, “yes we come together and do our best, but you are constrained by our own organisation’s resources and agenda. You can’t just throw everything down and work on something just because it’s WHS”.

The WHS’s Board adds transparency to the site’s management. As respondent 19 highlights, “the formation of the board was about removing that self-interest because quite a lot of people that make up the WHS Board ... aren’t connected to a specific site, as such, they don’t have an interest”. However, others are sceptical, especially due to its composition. As respondent 18 argues: “The problem I see is that it’s too local authority led and I think that it’s very difficult where you’ve got private individuals and charitable trusts like us owning different parts of the site”. However, respondent 16 refutes such claims suggesting, “the only reason that councillors are on it, actually, is because there’s individual councils’ money going in so it seems right that you have somebody from each of them”.

#### **4.2.2.2 Communication**

Communication is essential for effective site management. Both the partnership forum and panels are central to this. As respondent 20 states, “they have been the basis for people to openly talk, listen and work together ... You can see it in what has been achieved throughout the site”. Respondent 21 maintains this stating that, “both [the forum and panels] are a valuable method for people from differing interests and different ideals to have a voice, to come together and talk about thing, negotiate, plan things, and listen”. Therefore, groups can express ideas and concerns to one another. The communication between the board and the forum was also praised. As respondent 16 argues: “communication is essential ... we’ve ensured that the board isn’t some standing alone entity that nobody ever speaks to”. Furthermore, the open communication creates trust. As respondent 17 argues, “a lot of the organisations, we’ve been working together a long time. We’ve all been putting funding and man power into the WHS for a long time and that’s continued forward so, obviously, trust has been built up because of that”.

Despite this, concerns were raised about the level in which the board engages with the site's forum members and specific attractions. As respondent 13 argues, "remember the Partnership only meets twice a year. In between these we're (the WHS team) having to go as go-betweens and some of what's being said is lost. They don't go off and do their own thing very much, they really do need to engage more, and talking to people ... that's what communication is all about". In an attempt to combat this problem, the WHS Board decided to assign a board member to a geographical area of the WHS to strengthen communication. The potential importance of this strategy is asserted by respondent 19 who argues that, "You've got to have somebody from the board who goes and brokers the discussions between sites and different interests and that's not happened. So all the different segments of the WHS we've now broken down and assigned board members to each site". However, respondent 16 argues that time is a barrier to the success of this strategy, identifying, "the board members may have to go out there and work a bit closer with partners instead of taking that more strategic side, but the board are incredibly busy, only meeting every three months so anything outside it is a struggle".

While the governance approach does provide a form of structure to the communications process, informal relationships are also fashioned which is perceived to be important. As respondent 12 claims, "it's officially a partnership, but really what makes it work are all those relationships underneath that, the informal ones ... it's all about unofficial partnerships and relationships either with officers, whether it's individuals, [or] organisations". The significance of these informal relationships is also seen to be important in decision-making and when advice is needed. As respondent 21 highlights, "we've all got to know each other quite well and we're all quite friendly and if, say, for example, Rachel wants to ask me something about something in her area, she'll ring up for a second opinion or I might ring Adrian or, you know, we're all sort of ... Yes, so we've got that sort of link, I guess".

#### **4.2.2.3 The team/key individuals**

The WHS 'team' are instrumental in bringing together stakeholders, both within and outside the management structure. As respondent 16 highlights, "it's about rallying everybody around to the cause. They do so much extra work, purely voluntarily and they're absolutely dedicated. It's that determination that's made this network of relationships happen and continue to function. And as a result everybody else tries to

give what help they can”. This is supported by respondent 20 who argues that: “Adrian’s [WHS Co-ordinator] Mr WHS ... so he’s the one that brings us all together and it’s because of him, really, and his passion and his partnership working, that everybody works together ... he’s helped so many people see the bigger picture now”.

Furthermore, respondent 14 highlights how the team encourages sites to work together; “We have really tried to work hard with the different site ... we’ve managed to coordinate things and get sites working together more”. Despite their value, the financial climate has created concern for the team’s future. Respondent 19 states that “I think it has been a luxury over the last few years ... the staff of the WHS team are employed by Derbyshire County Council ... we have had a £60,000 reduction to our budget ... it might be that we’re no longer in a position where we can offer a fully dedicated service”. Respondent 13 echoes this warning that “there’s a whole element about work which none of the partners would want to do if left to their own devices ... we have to monitor the site and show that we are protecting, conserving the site and that’s ... it’s the glue that holds it together and keeps us off the World Heritage “at risk” list, if it goes, then what?” Furthermore, respondent 12 highlights this could impact on the level of stakeholder engagement: “Can we continue the level of engagement we have been a custom too? No ... the resources just aren’t there anymore”.

#### **4.2.2.4 Partnerships in action**

Through the governance structure, the site has provided a platform from which projects have been accomplished. As respondent 21 claims, “there’s a lot of working together and mutual support which comes from the governance approach. I think that this idea of an environment of partnership working is running”. Table 33 highlights various examples of these partnerships in action. These partnerships are central in ensuring that the site is successfully managed and that stakeholders are embracing a communal approach to protecting the WHS.

<b>Project and Description</b>	<b>Source</b>
<b>Derwent Pulse:</b> Aimed to promote the WHS's industrial heritage. Involving local communities, the project saw 1000 lights being navigated down the River Derwent using Global Positioning System. This project was commissioned by the DVMWHSP and funded by the local mills, the Arts Council, the Peak District National Park Authority.	BBC News (7/6/2014); Belper News (28/10/2014); Derby Telegraph (9/06/2014); DVMWHS Latest News (9/6/2014)
<b>Discovery Days:</b> Is an annual weekly event during October, attracting 15,000 per year. This allows visitors and those who live and operate within the WHS to take part in a whole range of activities. Its success is dependent on the collaborative working and goodwill of many of the site's key Partners.	DVMWHS Management Plan (2013-2018); DVMWHS Tourism Strategy (2011-2016); DVMWHS E-Newsletter (Oct 2007; Jan 2008; April 2009)
<b>Children of the Mills:</b> Involved 212 local children taking part in three arts performances based on working in the early cotton mills. The project was organised and funded by the DVMWHS partnership, Derbyshire County Council, Derby City Council, and Derby and Derbyshire Economic Partnership.	DVMWHS Newsletter (Issue 4); DVM Annual Report (2006); DVMWHS Management Plan (2013-2018); Belper News (3/10/2004)
<b>Derwent WISE partnership:</b> Is a £2.5 million project which aims to enhance and protect the DVMWHS landscape. In 2013 it received £1.7676 million in lottery funding. Includes 18 partners such as; Derbyshire Wildlife Trust, Derbyshire County Council, Natural England, DVMWHSP, English Heritage, The Arkwright Society, The Forestry Commission, Amber Valley Borough Council, and Derbyshire Dales District Council.	DVMWHS Annual Report (2012); DVMWHS Latest News (20/8/2013); DVMWHS Newsletter (Issue 9); Derby Telegraph (31/7/2012)
<b>Interpretation Panels:</b> Interpretation panels have been located throughout the WHS at all key sites to help people understand the significance of the WHS. The panels, which all feature the DVMWHS logo, were joint funded by the Heritage Lottery Fund, Derby City Council, DVMWHSP, Amber Valley Borough Council, Derbyshire Dales District Council, local residents, and Maypole Promotions.	DVMWHS E-Newsletter (Sept, 2006); DVMWHS Latest News (11/10/2010); DVMWHS Management Plan (2013-2018)

**Table 33: DVMWHS partnership working examples**

As Table 33 also highlights, some of the projects have also involved differing interests which may not be present within the site's partnership forum, for example the Peak District National Park Authority's contribution to Derwent Pulse. Furthermore, through partnership working, different organisations have also been able to apply for funding and pooling resources to make improvements to the WHS.<sup>43</sup> Table 33 highlights two

<sup>43</sup> Derwent Valley Mills Partnership (2013, p.29) *DVMWHS Management Plan 2013-2018*, Derwent Valley Mills Partnership, Derbyshire



examples of these and demonstrates the instrumental nature of collaborative approaches to joint funding projects which may not have been accomplished otherwise.

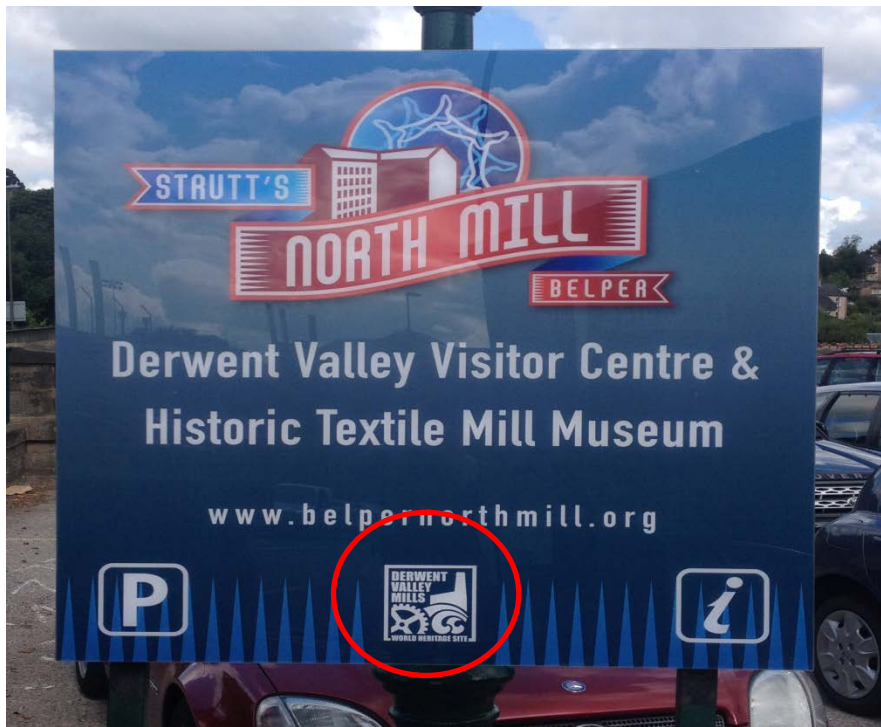
As Table 33 also highlights, through working together funding has been secured to improve areas of the WHS which could not have been accomplished in isolation. As respondent 20 argues, “these days the only way you attract funding is by working in partnership, best value for money, not duplicating, that kind of thing. So it is fundamental to working together”. Respondent 12 expands on this, highlighting: “Attractions are now working together and, as far as they can, thinking about each other’s position. It’s certainly improved the long-term strategic thinking of the group as a whole. We’re living in a time of reducing resources – at the end of the day they need to survive, that has to be their main goal”.

#### **4.2.2.5 Influence of the internal management environment**

The WHS’s internal managerial approach has created commitment between groups. As respondent 16 highlights, “people are certainly more committed ... it was a little bit slow to start but you just need to look at some of the partnership projects and funding’s achievements”. Highlighting the reduction in local authority budgets, respondent 22 stresses their continuing support regardless: “Without member support, we couldn’t do what we do ... if members weren’t supportive they wouldn’t be putting in £5,500 in times that are very pressing for local authorities”. Commitment is also demonstrated through many of the mill buildings incorporating the importance of World Heritage into their master plans<sup>44</sup> and the use of the Derwent Valley Mills logo within their premises (see Figure 12).

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<sup>44</sup> Examples include: Arkwright Society, *The Cromford Mills Master Plan* (2012, p. 7); Derby Museums, *The Derby Museums Business Plan* (2012-2015, p. 1-2)



**Figure 12: The use of the DVMWHS logo  
(From left to right): Strutt's North Mill and Cromford Mill (Taken by author)**

The development of the WHS Gateway is an example of a more collective approach to site functioning. This project is an initiative within the Cromford Mills site which will restore the mill 'Building 17', with a WHS centre on the ground floor. Despite being situated within the Cromford Mill, the purpose of the gateway is also to promote other parts of the site. As respondent 18 emphasises:

“We went out of our way to ensure that the development was for the benefit of the WHS, not just Cromford. So the whole purpose of the gateway is like an ‘attract and disperse’ mechanism. So we invite people to come in, go through it, learn all about the WHS and then actually go out and explore the rest of the WHS”.

The management environment has also had an influence over the way different groups think. As respondent 12 highlights, “people can openly express their concerns and we now have a better idea where certain people are coming from ... this has meant we are able to work better as a collective. People consider other interests a lot more”. Therefore different groups are considering each other when making decisions or pursuing their own agendas. As respondent 18 argues, “We certainly have a more coordinated approach. Maybe in the past I would have said ‘to hell with them’, now I’m more open to other people’s views. Are things going to go my way all the time? Probably not. Am I going to back out because of that? No ... We’ve invested so much time in our site and to each other”. Similarly, respondent 19 emphasises: “I think that was the real achievement, actually, over the last five years; removing that self-interest and getting a team of people together who are very much about the wider interests ... rather than it being just personal”.

Such a change in attitude has resulted in people thinking more about the long-term implications of their actions and the value of World Heritage. As respondent 12 highlights, “mostly everyone has bought into this idea of World Heritage, I think they all understand that we are all trying to protect and that needs an investment in time and commitment which people have embraced”. Furthermore, respondent 19 highlights that, “there is an understanding, an agreement, perhaps unspoken but which is in existence ... that we are working mutually towards the bigger picture and betterment of the WHS”. Respondent 20 maintains this highlighting that, “when something is said, you know ... ‘that bloody World Heritage stuff again’ it upsets us because we put in so much work and commitment”.

Others suggest that continual involvement has resulted in commitment to the site for pleasurable reasons beyond their paid responsibilities. For example, respondent 21 stated that, “it’s enjoyable and that’s why I put so much unpaid time and effort into it ... it’s personally rewarding, you’re making a difference for future generations”. The setting has also created a platform from which representatives from different groups

have been able to form emotive relationships with each other. As respondent 21 highlights, “you build working relationships ... you also build personal ones too”. This is reinforced by respondent 14 who claims, “A lot of us have become companions, we support each other ... I think that’s something which the partnership working has helped with”.

Through the development of such outlooks, many of the representatives within the partnership forum have become more acceding to team-working. As respondent 12 highlights, “the more people that have worked together the more that have seen the benefits of it ... everything we do not has some form of partnership approach and everyone is throwing ideas in ... I think it’s because they enjoy working with other people”.

#### **4.2.3 Interests outside the governance structure**

External to those groups that comprise the site’s governance structure, there are numerous interests which form the wider stakeholder network. Respondent 13 highlights the importance of them, indicating that “one of the challenges we’ve got as a WHS is yes, you have to act first and foremost for the heritage. But it’s also about all engaging with people outside the partnership who need to be involved and it’s about engaging them in a way that really excites”. Engaging and involving such interests is at the heart of the WHS’s strategic documents.<sup>45</sup> As the management plan states, “the DVMWHS is a complex partnership and its success ... will require the support and participation of all the partners and stakeholders”.<sup>46</sup> Numerous approaches have been embraced to engage and encourage participation and commitment to the site’s protection, each of which will be discussed in the following sections.

##### **4.2.3.1 Representation**

Representation within the WHS’s decision-making has been used to engage stakeholders, especially through the consultation of strategic documentation. For example, the management plan was developed through public consultation, including

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<sup>45</sup> DVMWHS Annual Report (2004; 2005; 2006; 2007; 2008; 2009; 2010; 2011; 2012); DVMWHS Interpretation Plan, 2011; DVMWHS Economic Development Plan (2005); DVMWHS Interpretation Plan (2011); DVMWHS Management Plan (2002-2007); DVMWHS Tourism Strategy (2011-2016)

<sup>46</sup> Derwent Valley Mills Partnership (2013, p.86) *DVMWHS Management Plan 2013-2018*, Derwent Valley Mills Partnership, Derbyshire

questionnaires sent to residents, presentations to neighbourhood forums, and workshops with local business and residents.<sup>47</sup> Respondent 22 stresses the importance of this, stating that, “[through consultation] you are always going to have a better relationship because you are doing something on the ground rather than just sitting in an office saying, ‘Well, this is the policy. Go away and read it’, because you’re actually having that involvement, you empowering people to decide what they think are important”.

One way in which management has attempted to amplify engagement is through creating cluster groups, the first being created in Belper in 2012. These contain informal groups of local people, businesses and interest groups who aspire to produce projects and ideas for their section of the WHS. Commenting on the openness of the cluster groups, respondent 20 highlights: “Anybody is really welcome to join those so, for instance, we have local hoteliers, local traders, local restaurants, local events organisers on them”. Respondent 22 highlights their effectiveness, arguing that “lots of the residents engage in the Cluster Groups ... people from lots of different backgrounds coming together ... and those people are really enthusiastic because they feel involved and that they’re making a difference”. Despite this, respondent 18 highlights engaging with wider stakeholders is difficult: “people are busy ... they have their own lives and responsibilities which are of greater concern to them”.

#### **4.2.3.2 Raising awareness and reputation management**

Raising awareness is vital in heightening engagement”.<sup>48</sup> As respondent 19 highlights, “we need to keep people informed about what’s happening. So, with the discovery days, walking festivals, newsletter, education projects ... that’s been invaluable in making sure the community is aware that they live in a WHS and the need to protect it”. Table 34 highlights some of the tactics used to raise awareness.

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<sup>47</sup> Derwent Valley Mills Partnership (2013, p.19) *DVMWHS Management Plan 2013-2018*, Derwent Valley Mills Partnership, Derbyshire

<sup>48</sup> Derwent Valley Mills Partnership (2013, p.73) *DVMWHS Management Plan 2013-2018*, Derwent Valley Mills Partnership, Derbyshire

Strategy and Description	Source
<b>DVMWHS website and social media:</b> The website offers a platform for the distribution about; the site, how it is managed and contacts, access to strategic documentation, learning materials, events calendars, links to key attractions and organisations, and a latest news. The site has a social media page which is used to distribute information. <sup>49</sup>	DVMWHS Annual Reports, (2009, 2012, 2011, 2012); DVMWHS Management Plan (2002-2007; 2013-2018)
<b>DVMWHS Logo and Branded road signage:</b> The WHS has its own logo which is encouraged to be used throughout the site. A £91,400 scheme to raise the profile of the WHS which involved incorporating the WHS logo onto the tourist road signs and at entrance points to the WHS.	DVMWHS Annual Reports (2011; 2012); DVMWHS Management Plan (2013-2018)
<b>Arts Projects:</b> Accomplished with the help of the local community. For example, the ‘Threads’ Project engaged with local residents who used to work in the mills until their closure in the 1980’s. These conversations, recordings and memories were used to create a website ‘Memories of the Mills Workers’ which contains visual art, songs and videos which were created from the process.	DVMWHS Annual Reports (2011; 2012); DVMWHS E-newsletter (May 2006); DVMWHS Latest News (9/6/2014); Belper News (2/1/2007; 9/1/2009); Derby Telegraph (24/1/2011)
<b>Discover Days:</b> Traditionally undertaken during a week in October, the Discovery Days Festival delivers a range of walks, talks and events which help explain the Site. As of 2014, this was split into four periods; two days in Belper (July), two days in Derby (September), five days of Discovery Talks throughout the site (October), and two days in Cromford (November).	DVMWHS Annual Reports (2008; 2009, 2012, 2011, 2012); DVMWHS Latest News (31/10/2013; 2/12/2014); DVMWHS Management Plan (2013-2018)

**Table 34: DVMWHS Strategies for raising awareness**

Respondent 15 argues the benefit of these approaches, arguing that, “the amount that is actually done is fantastic, you really need to engage people from all different interests and we strive to it a way that really excites them”. For instance, praising Discovery respondent 20 states, “it’s a celebration of the WHS so that the local people appreciate what was on their doorstep”. Also, respondent 13 highlights, “it’s about getting people together in groups, making friends, seeing each other at different events ... we also attract different generations so that’s huge social benefit. They are getting together, working together being more involved”. The value of the road signage branding is also considered to be a significant to raising awareness (see Figure 13).

<sup>49</sup> The DVMWHS Facebook page currently has 237 followers (Source: <https://www.facebook.com/DVMillsWHS>); while the DVMWHS currently has 2461 followers (Source: <https://twitter.com/DVMillsWHS>)





**Figure 13: Examples of DVMWHS branded road signage**

The worth of this is discussed by respondent 12 who highlights that “You see the logo on there and a lot of people recognise they are in it which is really good ... it’s important people know about it because it validates what we do. But, also, they are the future volunteers and the people who will contribute so the more people are aware of it the better”. Many of these projects also media coverage which is essential in generating awareness. This includes: championing successful events such as Discovery Days<sup>50</sup>; publishing grants, funding and restoration successes<sup>51</sup>; and to advertise and promote opportunities for site involvement.<sup>52</sup> Media is important as respondent 17 states, “it shows everyone what we are doing and that they should be proud of their place ... it gives confidence to the Partnership and shows the power of teamwork ... many volunteers I have spoken to have said that’s why they have become involved”.

<sup>50</sup> Belper News, *Crowds discovering more bout heritage* (25/11/2008); Belper News, *Huge success for heritage events* (1/11/2006); Belper News, *First walking festival begins* (21/5/2013); Derby Telegraph, *Family day to mark 10<sup>th</sup> anniversary* (12/07/2011); Derby Telegraph, *Historic group will hear heritage talk* (16/09/2011); Derby Telegraph, *Weekend Events: Derwent Pulse, Discovery Days and 175 years of railways in Derby* (23/10/2014)

<sup>51</sup> Belper News, *Heritage grants* (25/4/2012); Belper News, *£50,000 grant will help energy efficient projects* (16/2/2012); Derby Telegraph, *Council money set aside for mills going begging* (29/12/2011); Derby Telegraph, *Council pledge £8000 to mills site* (18/02/2011); Derby Telegraph, *Heritage sites to be used in bid to boost tourism in county* (5/3/2010); Derbyshire Times, *Funding bid hopes to safeguard iconic landscape* (12/6/2013)

<sup>52</sup> Belper News, *Former mill workers asked for memories* (9/1/2009); Belper News, *Funding boost for story scheme* (1/5/2013); Belper News, *Heritage chief pilot ambassador scheme* (29/06/2012); Derby Telegraph, *Bygones: Viewers in the picture to see work progress on Arkwright mill* (29/10/2013); Derby Telegraph, *Derwent Valley mill workers needed to tell their tales of yesteryear* (06/01/2009); Derby Telegraph, *Project to preserve thread of heritage with new website* (24/01/2011); Derbyshire Times, *Heritage site needs your old films an pictures* (12/01/2013)

#### 4.2.3.3 Education

Education is a vital in engaging stakeholders.<sup>53</sup> As respondent 16 states, “it’s all about education, letting everybody know that it is a WHS, even those that live there’s still that battle going on to make them really realise what it is and why it’s here and why it’s important”. In response, the WHS has collectively produced educational materials and opportunities, including: National Curriculum resources,<sup>54</sup> arts projects such as ‘Re:connaissance’,<sup>55</sup> locals school presentations,<sup>56</sup> and various publications.<sup>57</sup> The significance of targeting younger generations is especially important, with respondent 18 claiming that, “they are essential to the future of the site ... so it’s just finding ways of getting them involved and that maybe through the educational resources or even through social media ... and before you know it, they actually fall in love with the place and then they start to get interested in the heritage aspect”. Despite the educational approaches others suggest cast doubt over their potency. As respondent 20 argues, “I think quite often a lot of the community and businesses don’t particularly appreciate the WHS or don’t realise that it’s on their doorstep, despite the fact that there is quite a lot of information”.

#### 4.2.3.4 Support

Strategies facilitating stakeholder support and encouragement is important, especially as the management plan emphasises that “prior to 2012 the site had limited engagement [excluding the Mills] with businesses within the site or those outside it”.<sup>58</sup> Developed by the Belper Cluster Group, one approach to tackle this has been the ‘Belper Ambassador Training Scheme’. This involved the WHS team taking business owners

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<sup>53</sup> Derwent Valley Mills Partnership (2013, p.80) *DVMWHS Management Plan 2013-2018*, Derwent Valley Mills Partnership, Derbyshire

<sup>54</sup> The DVMWHSP has created a teachers directory and National Curriculum resource packs. These resources are also supported by documentation on ‘Using the WHS for learning’ and a range of Youtube Videos on the WHS ‘sites and visions’. The creation of educational resources for schools also witnessed collaboration between second year trainee teachers from the University of Derby working with staff and volunteers from across the Derwent Valley Mills such as, Strutt’s North Mill Belper, Masson Mills, Cromford Mills, and the Silk Mill and Derby Museums.

<sup>55</sup> Annually, during the Discovery Days festivals the DVMWHS Team series of assembly presentations was given to schools in and near the WHS, explaining why the Derwent Valley Mills is such an important industrial heritage area. Source: (DVMWHS Annual Report, 2011, 2012)

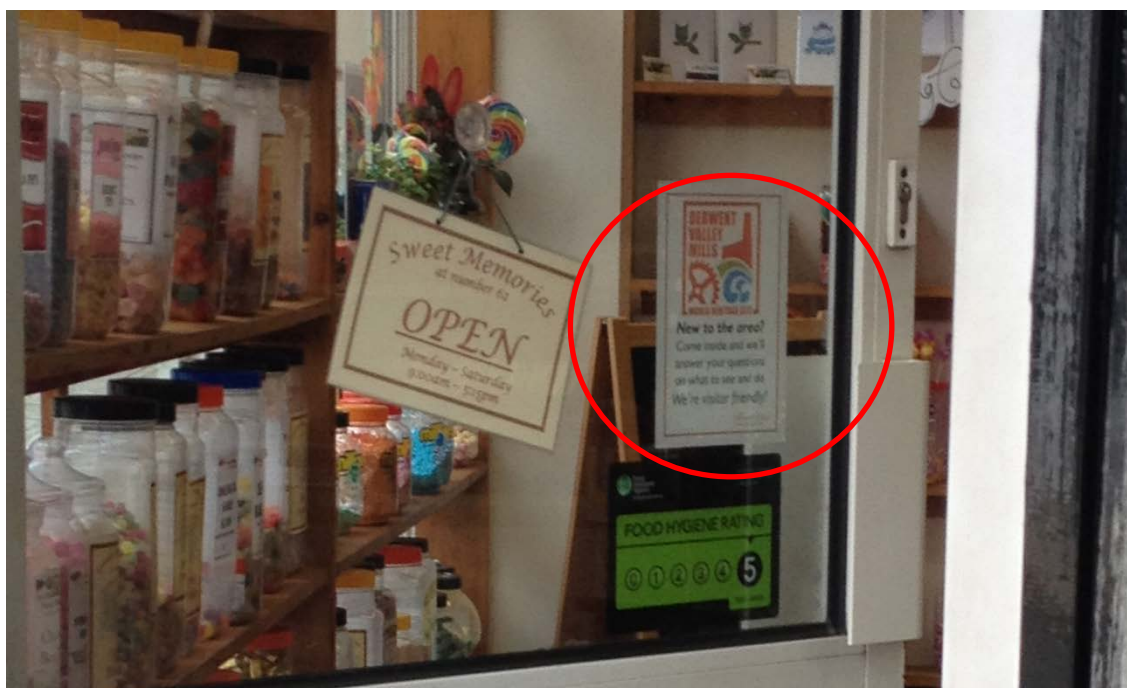
<sup>56</sup> Re:connaissance was a project which involving oral history and visual art. The project entailed interpreting wartime stories from the WHS during World War Two, this involved workshops which entails older generations and local school children. The results were presented during the 2009 Discovery Day festival.

<sup>57</sup> These publications include: The Derwent Valley Mills and Their Communities; The Strutts and the Arkwrights; The Arkwrights: Spinners of Fortune; The Derwent Valley Mills Souvenir Guide. Source(DVMWHS Website: <http://www.derwentvalleymills.org/index.php/publications/books>)

<sup>58</sup> Derwent Valley Mills Partnership (2013, p.39) *DVMWHS Management Plan 2013-2018*, Derwent Valley Mills Partnership, Derbyshire



and their staff on a two hour guided walk around their local town, educating them on the historical surroundings and where local amenities and family activities could be found.<sup>59</sup> Those who completed the training were given a vinyl sign (indicating that they are ‘visitor friendly’ and showing the DVMWHS logo) for their shop front. Figure 14 depicts an example of this.



**Figure 14: Belper ambassador training scheme vinyl. Sweet Memories in Belper**

Respondent 20 highlights the worth of this strategy stating, “it’s a flagship scheme that’s now been copied by other towns. Hopefully the shopkeepers, once they’ve been on this scheme, really have come to appreciate what’s on their doorstep”. Other forms of support have also included training sessions for employees and volunteers at the Mills who are involved with educational visits in website management abilities, creating sound files, and podcasting.<sup>60</sup>

Under specific circumstances, home and building owners within the WHS are eligible for grants to help with the repair and restoration of their property.<sup>61</sup> For example, the

<sup>59</sup> Belper News, *Heritage chief pilot ambassador scheme* (29/06/2012); Derby Telegraph, *Ambassadors to boost heritage tourism* (26/06/2012); DVMWHS Latest News, *Training up town’s new ambassadors*, (25/06/2012)

<sup>60</sup> DVMWHS Newsletter, *World Heritage News from the Derwent Valley Mills* (2006, Issue 8)

<sup>61</sup> DVMWHS Latest News, *Market Place Masterplan at Belper* (20/3/2006); Derwent Valley Mills Partnership (2013) *DVMWHS Management Plan 2013-2018*, Derwent Valley Mills Partnership, Derbyshire, p.39; DVMWHS Website, *Grants*, <http://www.derwentvalleymills.org/index.php/conservation/grants>

Belper and Milford Townscape Heritage Initiative is one scheme which proved successful throughout the WHS.<sup>62</sup> This has included grant assistance for building repairs, re-instatement of architectural detail, bringing vacant floor space into use, and enhancing tourism appeal. Respondent 13 praising such support highlights that, “Belper did brilliantly out of its heritage led regeneration programme from the Townscape Heritage initiative ... If you’ve got heritage as an asset, use it as an asset and don’t artificially push along the economic development with cheap and shoddy looking places because people will come to it and the WHS will benefit”. Examples of this have included: the restoration of the Black Swan pub in Belper through a grant of £104,607, and, after being unused for fifteen years, the Ritz Cinema was reopened with help from a £140,000 grant.<sup>63</sup>

Effort has also been placed on creating ‘WHS’ volunteers rather than being dedicated to specific organisations.<sup>64</sup> Through a training project led by the DVMWHS team, the Peak District and Derbyshire Destination Management Partnership and the Amber Valley Borough Council, volunteers from Masson Mills, Cromford Mill, High Peak Junction, Belper North Mill, Darley Abbey and the Derby Museum Service were took on a familiarisation trip of the WHS to better understand other sites.<sup>65</sup> Respondent 14 indicates the merit of this approach and highlights: “It’s sociable ... even though the project is finished we meet every two or three months and we do a guided tour around different parts of the WHS and then we go for some food afterwards ... we’re all talking to each other and we’re all finding out about what’s going on”.

This view is supported by respondent 20 who argues that, “it gives them a personal responsibility for the whole site and when you see the sort of incredible job they’ve done so far, you know, it is incredible and its testament to the dedication of those people. The work done by the volunteers is also championed through an annual awards

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<sup>62</sup> The Belper and Milford Townscape Heritage Initiative (THI) is a regenerative initiative aimed a building’s within the Milford and Belper area of the WHS. The aim is to encourage private sector investment in commercial buildings and historical residential premises in an attempt to fashion a more competitive and attractive environment for residents and business to build on the WHS status as a means of creating a sustainable tourist destination. This is funded by £1million from the Heritage Lottery Fund and contributions from: The Derby and Derbyshire Economic Partnership; Derbyshire County Council; Amber Valley Borough Council; Belper Town Council and owners of properties.

<sup>63</sup> DVMWHS E-Newsletter (January 2009); DVMWHS Latest News, *Townscape Heritage successes* (2/7/2007)

<sup>64</sup> Derwent Valley Mills Partnership (2013) *DVMWHS Management Plan 2013-2018*, Derwent Valley Mills Partnership, Derbyshire, p.81

<sup>65</sup> DVMWHS Annual Report (2008); DVMWHS Newsletter (Issue 7, 2007; Issue 8, 2008)

ceremony,<sup>66</sup> the significance of which is commented on by respondent 13 who argues, “the awards give people recognition of their hard work, gives them confidence in their doing and that they are making a difference ... it’s fantastic”. Despite this, respondent 22 admits, “in reality, volunteers quite often only have limited time. They don’t want to travel six miles up the Valley”.

#### **4.2.3.5 The influence of engagement**

Through stakeholder engagement, the DVMWHSP have been able to heighten WHS patronage. As respondent 15 highlights, “we’ve built relationships and trust with them. Even after projects are done we have people ringing us up and wanting to help on other things”. Additionally, respondent 13 stresses the importance of the relationships built: “It’s also getting people together in groups, making friends, seeing each other at different events ... You can see individuals come along, by the time you reach the end, they’ve all been talking to each other and that brings them together ... it inspires people to get involved”.

Through engagement, trust has been developed between different interests – especially between wider stakeholders and the WHS team. For example, respondent 12 argues that, “through working on the ground you speak to different people ... there is a lot of trust and friendship there ... It has been built over the years. It’s all about not promising to do things that you know can’t be done. But people see we deliver and that builds confidence”. Furthermore, referring to the World Heritage volunteer project, respondent 14 highlights that, “even though the funding finished two years ago ... we still all meet up, talk and try to come up with some new ideas, and then we’ll all go off somewhere to a pub ... and that’s just because of the relationships that have been built”.

Commenting on the Belper Housing development,<sup>67</sup> respondent 12 also identifies how heightened community awareness has led to questioning developments which may be detrimental to the WHS: “what is also interesting is that increasingly there is awareness in the WHS because people are protesting about this and I’m damn sure would have

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<sup>66</sup> Belper News, *Star volunteers in Belper celebration* (18/06/2011); Derbyshire Times, *Cromford Awards for Arkwright Society’s volunteer tour guides* (14/11/2013); DVMWHS Latest News, *DVMWHS Volunteer Awards* (06/10/2013); Derwent Valley Mills Partnership (2013, p.18) *DVMWHS Management Plan 2013-2018*, Derwent Valley Mills Partnership, Derbyshire

<sup>67</sup> Protect Belper, a residents group, was set up in response to Amber Valley Borough Council’s decision to propose additional housing as part of their core strategy around the area of Belper.

been on the UNESCO website and will be saying ‘here, it’s a World Heritage centre, what are you going to do?’” For example, Figure 15 highlights an approach used by the Belper community to protest against the proposed housing development. This heightened awareness has also seen people pay more attention to other areas of the WHS that they usually wouldn’t. For example, respondent 16 argues, “I think they [local residents and organisations] do understand a little bit more and they’ve taken more interest. The people in the north have taken notice of what’s happening in the south and going to things and likewise in the middle”.



**Figure 15: Belper residents protest against a housing development**

The faithfulness of stakeholders has also resulted in some giving up their free time or donating resources to the WHS. After becoming involved in the Belper Ambassador scheme, respondent 13 highlights the work of a local delicatessen who became inspired by the project: “they now do a food walk at four times a year which ends up at the delicatessen ... the deli doesn’t take anything ... whatever food they’ve got that’s spare on a Sunday, they let people have that. And that’s just a goodwill gesture”. Respondent 15 continues and highlights, “they’ve done that three or four times now which is lovely and that’s really just them wanting to be part of this bigger WHS which I think is incredible ... they are becoming part of this big WHS and they feel they are part of that wider family”. Respondent 13 highlights the intensity of such support

stating, “like the businesses at Belper, the amount of times, once they’ve been on the Ambassador scheme, I’m always emailing them, they’ll come back and want to support things and they’ll host events at their venues. They want to be part of that and we find that works really well”.

Others have also become more active in offering assistance during specific events, such as Discovery Days. For example, respondent 14 talks about members of the public doing independent research and opening up their homes to visitors during Discovery Days: “Brian who lives on Long Row, he’s opened his house up every year, it’s one of the really historic mill worker’s houses and every year he does a bit more research ... His house is always full ... Most years he takes about 400 people through his house in about four or five hours, amazing really. And he talks to them all”. Furthermore, respondent 12 who argues, “It’s getting people involved and interested. Nothing works unless there is real enthusiasm there and a real keenness to make a difference. And there are people out there and we do have people that have made a difference by being part of that setup, people are now thinking more long-term and more for the good of the whole site rather than their own small part”.

#### **4.2.4 Challenges to cooperation and involvement**

Despite the collaboration and commitment being nurtured there are numerous avenues which provide barriers. These barriers are relevant to all stakeholders regardless of if they represented within the DVMWHSP or not, and will be detailed in the following sections.

##### **4.2.4.1 Conflicting interests**

One challenge is conflicting agendas and restrictions which inhibit some stakeholders’ ability to be fully collaborative. As respondent 12 highlights, “obviously, they don’t share each other’s views all the time ... at the end of the day they need to survive, that’s got to be their main goal”. Respondent 15 agrees and argues, “I think for some of the individual sites they have to operate as businesses in a very difficult climate so it’s harder for them to open up”. Others highlight the difficulties inherent in relationships between different interests. As respondent 13 stresses, “When you are doing things together there will naturally be somebody that will lead on things and want to push it in a direction they want ... sometimes you’ll lose people on the way because the person at the front’s just going ‘my way or no way!’” Additionally, respondent 19 questions the

level of cooperation between most of the sites: “I think there has been an improvement between the two gateways but I don’t think there has been between all of the sites ... I don’t think the relationship exists”. Despite this, respondent 18 highlights that relationships have improved due to generational changes:

“It’s a generational thing. Most sites have been saved by individuals at some point, they were all competing against one another and were never going to become friends. They’ve now all sort of left and you’ve got a new generation of managers coming up. We’re more aware that if I’m successful so will they and if their successful I’m more likely to be too ...”

Others highlight the problem of envy. For instance, respondent 16 argues, “some councils and organisations can even be sort of jealous of one another and think, ‘Why have they got that and we haven’t managed to get it?’ So it can cause problems in bringing people together”. Respondent 20 also comments on the difficulty of getting wider members of the local and business community involved: “the minute it gets too bureaucratic they’re going to say, ‘why do I want to be sitting in a boring meeting for five hours?’ ... they don’t want to be sitting on committees at high levels”. Despite this, respondent 16 argues that there needs to be a level of pragmatism to the site’s management: “I suppose there’ll be other people that couldn’t care a damn, quite frankly but, you know, are completely disconnected. But you get that in everything”.

#### **4.2.4.2 Time**

Time is important to site management. As respondent 13 argues, “At the centre of what we’re trying to achieve, it’s a lot of diplomacy and a lot of trying to encourage others to emphasise with other parties within the partnership. And that is hard and it takes a long time and it does mean that we move slowly in any given direction”. Respondent 15 supports this stating, “All of this has been grounded in time. It’s not a simple ‘hey let’s get together’, and everything fits into place. It takes a lot of time and patience from everyone. Building these relationships has taken time - that’s key in all of this”.

However, time is also a challenge. For example, respondent 19 highlights, “the partnership forum hasn’t actually met for a year”. Similarly, respondent 20 argues that, “we only have so much time that we can put into World Heritage, it’s just one part of what we do. Sometimes we don’t have time to attend this meeting or that. It may look like we’re not committed at times, but it’s just we don’t have the time”. Similarly,

respondent 14 stresses, “because we were in a meeting every four months, if things slipped it could be a year and you’ve not progressed something but because ... and if people don’t come to a meeting you don’t see them for eight months or so ... it can effect relationships and put them back a few places ... it’s like are they committed?”. Despite this, respondent 12 comments of the need for a more empathetic approach to this problem, arguing, “Some of the people are giving their time because it’s part of their job ... but an awful lot of it is voluntary ... and if they can’t make it sometimes then fine ... I think some of the people who are paid to be here need to remember that. We rely on these people ...”

#### **4.2.4.3 Enhancing the benefits**

In response to these obstacles, many maintain that there needs be a better understanding of the potential benefits of being a WHS and for them to expand across the site. For example, respondent 20 argues that “it’s important that the benefits are spread across and within the site and that people are aware of them ... not just the Mills but also the historical buildings and many gardens, businesses and attractions ... it’s all about widening the product and people need to see that”. Others such as respondent 19 highlight the need for people to be aware that the benefits are not just isolated to the protection of the historical buildings, stating: “WHSs, and especially one that is about centuries of innovation, should be about future innovation as well, developing jobs for people who live within it and outside it ... but it shouldn’t stop there it also needs to be about social benefits, generating local pride ...”

#### **4.2.4.4 The notion of World Heritage**

While many of the stakeholders throughout the site have their own interests, World Heritage and its overall importance is regarded as a significant factor within the realms of commitment. As respondent 21 highlights, “what we want to make sure is that no matter our differences, we all work towards the same goals, if you like, for the World Heritage Site ... it’s brought us together”. This is supported by respondent 16 who argues that, “perhaps it was a little bit slow to start because people thought, ‘Well, we see all those magnificent WHSs around the world and why is our little bit of the valley and Derbyshire?’ And then I think it started to grow in their minds, ‘Well, I think this is something rather special to have, to look after and to protect’. Additionally, respondent 13 suggests, “The sites didn’t ... I mean, they used to compete rather than work

together. It was World Heritage status that brought them together but they've come a long way. But, there is still that history of friction".

However, the notion of World Heritage is something yet to be fully apprehended. For instance, respondent 18 argues, "I think a lot of people in the UK are somewhat confused by World Heritage Site listing and what it means". Respondent 20 agrees and maintains, "I think quite a lot of the community and businesses don't particularly appreciate or understand the WHS or realise that it's on their doorstep". While some of the strategies to raise the awareness of the WHS have helped remedy this dilemma, respondent 13 highlights that it cannot be successful all the time: "It's the old you can lead the horse to water but you can't necessarily make them appreciate what's on their doorstep ... they love the landscape but they may just not understand where it fits in terms of the WHS".

#### **4.2.5 DVMWHS Case Summary**

The DVMWHS exemplifies a site whose management is intensified by multiple stakeholders. This intensity is deepened by the private ownership of the WHS's key properties, and the other interests ranging from business to touristic concerns. However, fundamental to the site's success is the necessity of a collective approach to administration and protection. In an attempt to fulfil this prerequisite is the management structure to the WHS, consisting of a board, a partnership forum, a series of panels and working groups, and a WHS team of dedicated professionals.

The WHS's 'internal' management has provided a starting point from which to develop a collective approach to site management. This is due to the development of an environment built on strong and trustworthy relationships, open communication, and team-working. The site's board is also highlighted to offer degrees of clarity by having a collection of representatives which attempt to remove self-interest. Furthermore, the team of professionals that are dedicated to the WHS are highlighted to be pivotal. This team is emphasised to be significant in bringing together stakeholders throughout the WHS and coordinating action between them. However, there still remains doubt over the effectiveness of this management approach. Issues include: the difficulties of managing multiple interests, problems in people voicing their opinion within such a large group, scepticism over the role of the board, and the lack of resources. Despite its limitations, the internal management approach is suggested to have had an influential impact on



those who operate within it. For example: increased levels of commitment and a more collective approach to management, interests becoming more understanding of others' positions, and emotive relationships have been developed.

Outside those interests within the management structure are numerous stakeholders who are important for successful site management. Therefore, it is essential to promote and obtain community support and involvement due to their ability to directly or indirectly impact on the WHS's OUV. To accomplish this, the site's management has instigated numerous approaches which includes: heightened representation, raising awareness and reputation management, educational resources and mechanisms, and through substantial levels of support. The overall influence of the engagement strategies on the DVMWHS's stakeholders is highlighted to be significant and includes: elevated levels of awareness and devotion to the site, strong stakeholder relationships being built, and wider stakeholders now thinking more about the site's long-term sustainability. While levels of collective thinking have seen to be cultivated throughout the DVMWHS the case also draws attention to several obstacles which have prevented communal action. They includes: the diverging agendas and interests of the stakeholders involved, a lack of understanding of the potential benefits of being a WHS, the issue of time, and a limited comprehension on what World Heritage signifies.

### 4.3 Antonine Wall Findings

#### 4.3.1 The site's complexity and governance: An overview

The AW is managed by a steering group consisting of East Dunbartonshire Council, Falkirk Council, Glasgow City Council, Historic Scotland, North Lanarkshire Council and West Dunbartonshire Council - also known as the 'partners'.<sup>68</sup> The site is also protected through various legislative acts and guidance policies, including: The Historic Environment (Amendment) Scotland Act 2011, The Town and Country Planning Act (Scotland) 1997, Scottish Planning Policy (2010), and the Scottish Historic Environment Policy. Each of the local authorities, as well as Historic Scotland, are partial site landowners (see Table 35), and are responsible for a range of services which are relevant to its management, such as economic development, planning, education, and roads. Therefore, each partner has an influential role concerning site management and is key figures in bringing together key stakeholders.

East Dunbartonshire Council	<ul style="list-style-type: none"><li>Part landowner, including Kirkintilloch Fort and New Kilpatrick Cemetery. The East Dunbartonshire Leisure and Culture Trust (an arms-length body of the council) is accountable for the administration of the Auld Kirk Museum in Kirkintilloch.</li></ul>
Falkirk Council	<ul style="list-style-type: none"><li>Part landowner, including Kinneil fortlet. The Falkirk Community Trust (arms-length body of council) is responsible for managing Kinneil and Calldendar House Museums.</li></ul>
Glasgow City Council	<ul style="list-style-type: none"><li>Part landowner, including Cleddans Burn.</li></ul>
North Lanarkshire Council	<ul style="list-style-type: none"><li>Part landowner, including Garnhall, Castlecary, and runs several museums as well as outreach activities on Roman themes.</li></ul>
West Dunbartonshire Council	<ul style="list-style-type: none"><li>Part landowner. They are responsible for Golden Hill Park which is the site of Duntocher fort and fortlet.</li></ul>
Historic Scotland	<ul style="list-style-type: none"><li>Is an executive agency of the Scottish Government who is responsible for protecting Scotland's historical environment on behalf of Scottish Ministers. They also ensure that any public policies conform to the regulations of the World Heritage Convention. Directly manage parts of the WHS. This includes: Rough Castle, Bar Hill and Bearsden Bathhouse.</li></ul>

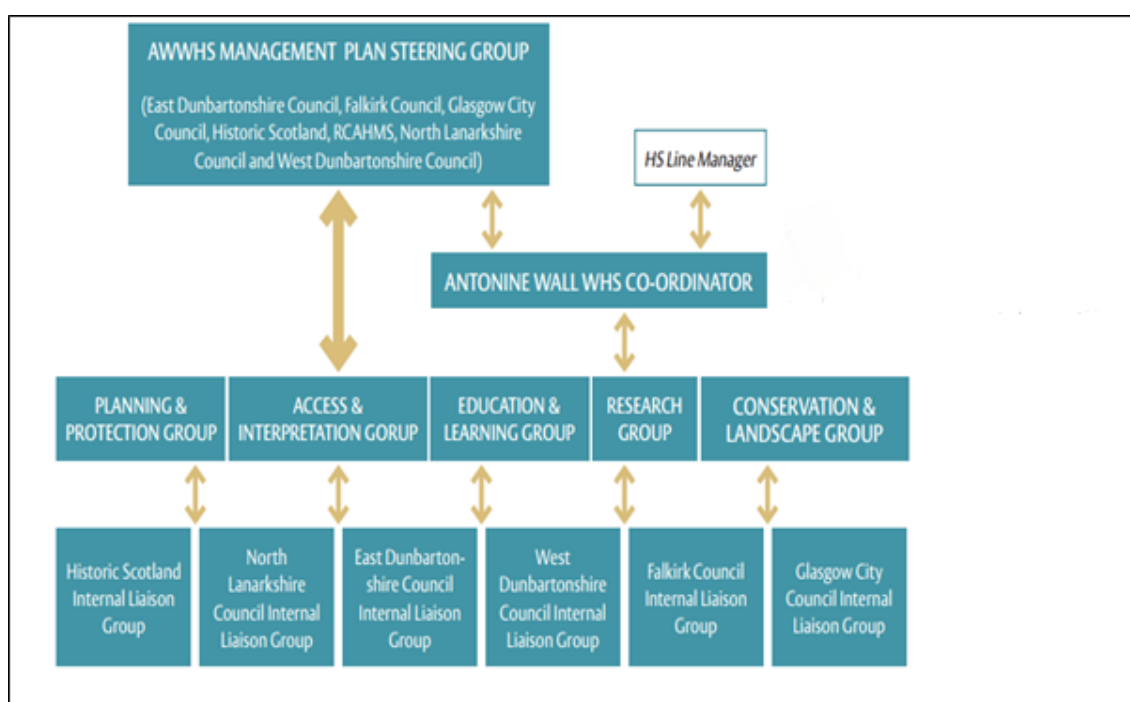
**Table 35: Local authorities' responsibilities for the Antonine Wall**

**Adapted From: Historic Scotland (2014, p.11-12) *The AW Management Plan 20014-2019*, Historic Scotland, Edinburgh**

In the AW's initial years as a WHS, and during the period of the 2007-2012 management plan, the overarching steering group was more inclusive and included both

<sup>68</sup> Historic Scotland (2014, p.11-13) *The AW Management Plan 2014-2019*, Historic Scotland, Edinburgh

the partners and important stakeholders. This included organisations such as, the Forestry Commission, Scottish National Heritage and the British Waterways Board.<sup>69</sup> This group was supported by three delivery groups covering the areas of protection, research, and access and interpretation. However, in line with the most recent management plan, the steering group, which meets quarterly, was reduced down to the six main partners, and the chairs of the delivery groups (see Figure 16).



**Figure 16: The AW management structure**

**Source:** Historic Scotland (2014, p. 4) *The AW Management Plan 20014-2019*, Historic Scotland, Edinburgh

The formalised management structure illustrated in Figure 16 is instrumental in ensuring that the AW is managed effectively.<sup>70</sup> In addition to the pre-existing delivery groups two more were outlined; conservation and landscape, and education and learning. These delivery groups contain representatives from key stakeholder organisations such as the Scottish Archaeological Research Framework and Glasgow Archaeological Society.<sup>71</sup> Additionally, to encourage dialogue, joint working and resource sharing, within partner organisations, a number of internal working groups were to be created within Historic Scotland and the five local authorities. Table 36 outlines the main responsibilities of each group.

<sup>69</sup> Historic Scotland (2007, p.64) *The AW Nomination and Management Plan 2007-2012*, Historic Scotland, Edinburgh

<sup>70</sup> Historic Scotland (2014, p.16) *The AW Management Plan 20014-2019*, Historic Scotland, Edinburgh

<sup>71</sup> Historic Scotland (2014, p.13) *The AW Management Plan 20014-2019*, Historic Scotland, Edinburgh

<b>Role</b>	<b>Description</b>
The management plan steering group	Contains the six key partners - East Dunbartonshire Council, Falkirk Council, Glasgow City Council, Historic Scotland, North Lanarkshire Council and West Dunbartonshire Council. This group also contains the chairs of each delivery group. It seeks to deliver the aims and objectives of the site's management plan and strategic documentation.
Planning and protection group	This group focuses on enhancing the protection and conservation of the WHS. The group centres on developing ways to effectively monitor planning applications which impact the WHS. They also aim to ensure that possible changes to the site are in accordance with local planning policies and regulation. The group created the first supplementary planning guidance for the WHS in 2011-2012 (see Table 37).
Access and interpretation group	Is responsible for directing the implementation of the management plan and improving access to the site. It contains all six 'partners' plus representatives from interests such as Scottish Natural Heritage, Scottish Canals, and Forestry Commission Scotland. Some key successes have been the creation of an interpretation plan and Access strategy (see Table 37), the development of a site wide brand identity, and working with the Friends of Kinneil to deliver Falkirk's Big Roman Week (see section 4.3.3.2).
Education and learning group	This group is responsible for enhancing the provision of educational materials throughout the WHS. This involves working with many stakeholders to augment the level of understanding of the site's historical significance and issues pertaining to World Heritage. Furthermore, this also entails developing learning materials which can be used within educational institutions.
Research group	This group focuses on ascertaining research opportunities in regards to the Antonine Wall. Due to the site mainly being buried underground, the research group investigates the challenges and opportunities of managing and presenting such a site. The research results are then fed into many of the WHS's strategic documents.
Conservation and landscape group	A newly formed group and still in development, this entity will explore ways in which the site and its surrounding landscape can be better conserved and managed. A particular focus of this group will be to engage with landowners such as farmers.
Council internal liaison groups	Created within each of the six 'partners', these groups were devised to encourage cross-departmental working, communication and resource allocation within each of the organisations.

**Table 36: The Antonine Wall: Roles and Responsibilities**

**Source:** Historic Scotland (2014, p.4) *The AW Management Plan 2014-2019*, Historic Scotland, Edinburgh

Outside the governance structure, the site also contains other interests which render management complex. As the management plan identifies, "The AW poses particular management challenges linked to ... multiple ownership, plus the fact that it is invisible (surviving below ground]) for significant sections, offer particular challenges to ensuring a coherent approach to promoting access to, and understanding of, the

monument as a whole”.<sup>72</sup> The steering group also recognise the intricacy of the wider stakeholder network, with the management plan identifying the need to engage with these interests and classifies them into broad groups. This includes: landowners and managers, local community, education and research, tourism, access and local business, and culture and natural heritage.<sup>73</sup>

Respondent 23 highlights the complex nature of this multiple ownership asserting that, “the problem we have is that parts of the site are owned and managed separately. It means anything you want to do is challenging, let alone bring everyone together ... and there is a lot of private ownership whether it’s residents or farming interests which we need to factor in”. Respondent 29 also emphasises the problem landownership causes in regards to visitor reception, highlighting, “we would like to put in an expanded paths network but some landowners are not interested in public rights of way. We’ve taken down gates and they’ve put them back up or put barbed wire up”. Despite these difficulties, the site depends “on consensus and commitment from the key partners and stakeholders”; an issue which the site’s management plan is seen as a stepping stone to easing.<sup>74</sup>

### **The Management Plan**

Supporting the governance approach is the current 2014-2019 management plan. This provides the framework for the management, protection and enhancement of the site’s OUV. Both the current and previous management plans (2007-2012) identify the necessity not simply to protect the ‘Wall’ but also the totality of the WHS and its buffer zone.<sup>75</sup> The plan was created after a ‘long period’ of stakeholder and public consultation,<sup>76</sup> which included various workshops through each local authority and the availability to scrutinise a proposed draft.<sup>77</sup> This process is essential in ensuring that the different values are taken into account. As respondent 29 argues, “the site contains so many different people and interests, it’s not just conservation, it’s about farming,

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<sup>72</sup> Historic Scotland (2014, p.20) *The AW Management Plan 20014-2019*, Historic Scotland, Edinburgh

<sup>73</sup> Historic Scotland (2014, p.14) *The AW Management Plan 20014-2019*, Historic Scotland, Edinburgh

<sup>74</sup> Historic Scotland (2014, p.4) *The AW Management Plan 20014-2019*, Historic Scotland, Edinburgh

<sup>75</sup> Historic Scotland (2014, p.25) *The AW Management Plan 20014-2019*, Historic Scotland, Edinburgh

<sup>76</sup> Historic Scotland (2014, p.v) *The AW Management Plan 20014-2019*, Historic Scotland, Edinburgh

<sup>77</sup> Historic Scotland (2014) *The AW Management Plan 2014-19, Consultation Report & SEA Statement*, Historic Scotland, Edinburgh; Historic Scotland (2014) *The AW Management Plan 2014-19, Report on the consultation workshops*, Historic Scotland, Edinburgh; Historic Scotland (2014) *The AW Management Plan 20014-2019*, Historic Scotland, Edinburgh; Historic Scotland (2014) *The AW Management Plan 2014-19, Strategic Environmental Assessment: Environmental Report*, Historic Scotland, Edinburgh

tourism, and they need to be seen as important. If you just focus on conservation you're dead in the water". The management plan outlines the necessity to understand such diverging values: "The AW is of significant value in terms of its rarity, scale, preservation, and historical and archaeological value ... and also in terms of its contribution to the economic, educational and social values of today's society".

The plan also offers a starting point from which to offer a sound framework for site management. As respondent 27 highlights, "obviously you do need a structure to have a direction to bring all these enthusiasms and interests together ... it's pretty crucial, otherwise you're all over the place and you're just open to the whim of everyone turning up and saying 'Isn't this a great idea?'". The usefulness of the management plan is also advocated by respondent 28 who argues, "some organisations, it's been a struggle to get them involved ... but having the management plan should hopefully make that an easier process in terms of it's out there in black and white, what needs to be done and what all the roles are going to be".

The management plan also outlines an action plan which is used to prioritise key actions for the partners and stakeholders to aspire to on a yearly basis, while outlining a framework for fostering partnership working.<sup>78</sup> The merit of this framework is emphasised by respondent 29 who asserts that, "We've just got the management plan signed off by all the councils ... it has an action programme behind it and each of the councils are going through and identifying what tasks they need to do". Despite this, there is some scepticism over the plan's worth. For example, respondent 28 claims that, "sometimes you think there's so much to do here, where do we even start? And the risk of that is nothing gets started".

#### **4.3.2 Governance: The 'Internal' Environment**

##### **4.3.2.1 The managerial situation**

The management of the AW is dependent on, "the consensus and commitment from the key partners and stakeholders ... for this reason the AW management plan will be

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<sup>78</sup> Action Plan examples include: Action 1.16.1 (Develop opportunities for volunteering) the lead group or Partner is the 'Education group' with support from 'all Partners and stakeholders'; Action 3.1.1. (To create a draft education strategy) the lead group or Partner is the 'Education group/WHs Coordinator' with support from the 'Steering Group/Research Group'. Source: Historic Scotland (2014, p.44-61) *The AW Management Plan 2014-2019*, Historic Scotland, Edinburgh

endorsed by those bodies and individuals responsible for its implementation”.<sup>79</sup> The site’s governance offers a platform for this. As respondent 23 identifies, “in terms of bringing the partners together to collaborate, it works ... and the steering group is vital in providing a starting point for working outwards towards other interested parties”. Respondent 26 also claims, “I think it could have been a tick box exercise [the management structure] and we probably would have got away with that ... but I think there is now a genuinely strong partnership”. The steering group also allows partners to pool resources. As respondent 27 highlights, “with the six partners we can find staff that have certain skill sets [marketing, economic development staff or photography units]. If one partner trusts that they put something in that’s unique, then they can get something else out that is also unique”.

While the previous steering group contained more interests,<sup>80</sup> the existing structure of the partners supported by delivery groups is suggested to be more effective. Respondent 27 endorses this, stating, “It works a lot better. Some groups, for example Scottish Canals, didn’t want to be involved in the decision-making process, but we needed them to be at the table. The delivery groups fulfil this”. The delivery groups are significant in bringing in some of the wider WHS interests. As respondent 30 states, “we involve some non-expert members in the delivery groups. There will be new group ... conservation, farming, animal management, and that will have representatives of things like the NFU so we’re trying to engage with wider stakeholders”. Despite this, the delivery groups tend to operate on an intermittent basis, while bringing others in has proved difficult. As respondent 26 suggests: “the Education and Research groups come together now and again rather than being a live group, which it should be ...” Likewise, respondent 29 highlights that, “the landscape never meets ... but the problem is outside the steering group these interests are not signatories to the management plan. They don’t have to deliver anything”. Furthermore, respondent 28 argue, “some groups are functional, some are not, it comes down to money and there really isn’t enough to sustain such a structure continually ...”

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<sup>79</sup> Historic Scotland (2014, p.4) *The AW Management Plan 2014-2019*, Historic Scotland, Edinburgh

<sup>80</sup> The original AW steering group contained several more representatives from bodies such as Scottish National Heritage, Forestry Commission; British Waterways Board; and the Society of Antiquaries of Scotland. Source: Historic Scotland (2007, p.64) *The AW Nomination and Management Plan 2007-2012*, Historic Scotland, Edinburgh

Furthermore, respondent 24 argues that the exclusiveness of the steering group may isolate some key stakeholders arguing, “why have a group which only has the local authorities and Historic Scotland? It makes no sense ... Is it any surprise some groups don’t take off?” However, respondent 30 believes that the current approach is appropriate arguing, “If that requires outside people to be brought in to sit on the steering group then fine, but I don’t think there’d be much value in just bringing people in just for the sake of it ... unless they were helping to deliver specific action”.

#### **4.3.2.2 Communication**

The AW’s internal management approach promotes open communication.<sup>81</sup> Respondent 29 highlights the importance of this, arguing: “we have to bring in the wider views because, otherwise, it’s just officers going ‘this is what we’re going to do’ and you will end up with people shouting and screaming and saying ‘we knew nothing about it!’ ... The current approach we have is very good at getting everyone together and listening to each other”. Respondent 27 supports this maintaining that, “the delivery group is good at allowing discussion of an issue. And then taking the decision even if it doesn’t go the way all of us want to but, you know, we’ve been able to state our case”.

While communication between the differencing interests is open, some display frustration at the process and its lack of worth. For example, respondent 24 recalls:

“I had a meeting with the other three Roman archaeologists who worked on the AW and I said, “okay, what are your concerns?” The only thing that came out of this meeting was we hadn’t backfilled an excavation which had taken place in 1902! And I’m sitting there, and I’ve gone to the trouble of having this meeting, opening up completely, and you can say what you like and this is all that comes out of it”.

However, such discourse is important in understanding the agendas and values of differing interests. For instance, respondent 27 highlights that, “we work quite closely with the bodies like Scottish Natural Heritage and the RSPB ... it is critical because stewardship is an important thing. If they don’t get what we’re trying to do and if they don’t understand the significance of World Heritage in regard to their own focus, and we don’t understand them, then it can be difficult to reach decisions”.

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<sup>81</sup> Historic Scotland (2014, p. 19) *The AW Management Plan 2014-2019*, Historic Scotland, Edinburgh



#### **4.3.2.3 The team/key individuals**

The WHS Coordinator plays a pivotal role in the AW's management as they are responsible "for managing and facilitating the various meeting cycles for the Steering Group and delivery groups, assisting partners with project planning, and arranging appropriate marketing and promotional work".<sup>82</sup> Respondent 26 champions the role arguing that, "Without Trish I don't know where the partnership would have gone ... you need a strong leader and somebody who can do relationships, who knows how to speak to people, can bring people with you and who can delegate and can boss people about". Respondent 26 supports this arguing that, "without her and the amount of work she does there wouldn't be a partnership, it's her passion - that's the driving force, you can't help but follow it". However, the intensity of the position for one individual is difficult. As respondent 27 highlights "she can only do so much in terms of actions so everybody's looking to her ... but she's only go so many hours in a week".

Others suggest that more staff or a trust dedicated to the WHS would be worthwhile. For example, respondent 25 stresses that, "we need a coordinating team or body apart from the steering/delivery groups. They meet so little and how do you get anything constructive from that?" Respondent 28 supports this arguing that, "we've only really got Trisha at the moment ... and she's obviously not going to be able to implement the management plan herself and develop those local groups on her own ... a bigger pool of professionals whose sole job is related to the AW would clearly be able to achieve more". Despite this, others highlight that the current approach is more economical, with respondent 23 emphasising that, "it's a model that works for us and it's a very low cost model. It means that any cash we put on the table goes to projects, then to capital investment. It doesn't go on paying staff salaries".

#### **4.3.2.4 Partnerships in action**

The governance structure has promoted successful partnership working. As respondent 29 identifies, "the steering group have created a situation to develop collaborative projects ... it's the only way we are going to protect a site that spans across the breadth of the country". Table 37 highlights some of these achievements and illustrates the potency of the partnership working across the site.

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<sup>82</sup> Historic Scotland (2014, p.14) *The AW Management Plan 2014-2019*, Historic Scotland, Edinburgh

<b>Project</b>	<b>What? And Who?</b>	<b>Source</b>
Supplementary Planning Document	Guided by the protection group, a supplementary planning guidance for the WHS was produced. This involved planning and development staff in all five local authorities and supported by Historic Scotland. The document has been adopted by all five local authority planning committees.	The AW Management Plan (2014-2019)
LEADER programme for the Kelvin Valley	North Lanarkshire and East Dunbartonshire council secured £560,000 from the EU-funded LEADER programme. One of the projects is to improve infrastructure and enhance key attractions such as the AW.	Cumbernauld News, Splashing the cash (15/10/2008); The AW Management Plan (2014-2019)
The Interpretation Plan and Access Strategy	Developed by the steering group and key stakeholders such as the Forestry Commission and the Central Scotland Forest Trust. Its aim is to improve and enhance attractions/facilities along the line of the Wall by upgrading the interpretation and improving access.	The AW Management Plan (2014-2019); The AW Interpretation Plan and Access Strategy (2014)
Forth & Clyde - AW project	A partnership between Scottish Canals, the Scottish Waterways Trust and the Falkirk Community Trust and the WHS Coordinator, secured funding for a Community Archaeologist who will help bring public benefits using the AW as a vehicle to engage, motivate and build confidence in some of the poorest areas. The project is seen as tool to strengthen the appreciation of World heritage and its values, especially among young people.	Scottish Canals, Young Scots to get a taste of Roman life along the Lowland Canals (31/5/2013); The Herald, Youth vision helps to inspire art project in the park, (20/10/2013)

**Table 37: AW partnership working examples**

As Table 37 demonstrates, partnership working is essential to management and demonstrates the benefits of pool resources as the majority of the projects which occur throughout the site require coordination and collaboration. However, partnership approaches have been slow-moving. As respondent 25 argues, “progress has been quite slow, local authorities especially have just done their own thing ... we need some dedicated staff for the Wall ... without it people will just do their own wee things and not make much impact”. Despite this, constraints on people’s time means that isolated approaches are most appropriate. As respondent 28 argues, “yes we do things in isolation a lot, but as long as we and the others are improving things in our own patch then I don’t see the problem”. However, respondent 27 disagrees, arguing that, “some

people have done great things but we need to work as a team more, there is no point in one of us going off at a canter and waiting on the rest to catch up”.

One obstacle to partnership working has been the limited availability of resources. For instance, respondent 23 stresses that, “the stage we’d hope to get to is doing joint projects for the benefit of 5 councils, but we simply don’t have the resources to do that”. Furthermore, respondent 25 argues that, “there’s lots of great ideas and that’s fantastic but they are just ideas, and the challenge is we can have lots of documents and lots of ideas and no money to actually do anything”.

#### **4.3.2.5 Influence of the internal management environment**

The AW management structure (see Figure 16) has initiated the enhancement of an environment where different interests have become more open to each other’s views and needs. Respondent 23 emphasises this, highlighting, “there’s a very big difference between how Scottish National Heritage and Historic Scotland view things ... and that’s something we haven’t fully resolved ... but we work towards an understanding when we’re doing things, you need to consider other interests apart from your own”. Respondent 26 supports this, arguing that, “it’s like any partnership if it’s given time and effort ... we understand each other, where we’re coming from, what our limitations are, what we’re trying to achieve and I think we’ve learned to recognise”. Others highlight the development of relationships beyond work. As respondent 29 highlights, “I’ve met some wonderful people who I have become genuine friends with and that’s helped ... it makes me more inclined to be open and willing to work on certain things”.

Through working jointly there have been moves towards groups thinking more long-term. As respondent 23 highlights, “some people could not see beyond the end of their nose and it was a real problem ... they need to look beyond this ... working together has made some of these people see that and I think finally people are coming round to the idea. It’s about the long-term not some short-term”. Furthermore, respondent 30 maintains, “it’s about giving people a voice. That’s what builds commitment. It is difficult, it takes time, but it works. People are certainly looking towards the bigger picture more”. Demonstrating how a more long-term perspective has become more pertinent respondent 29 highlights an example relating to joint funding:

“So it’s not just one local authority putting in 20K ... it’s the five local authorities putting in money and there is an agreement that, for example, this financial year, one council puts in say 20K and the other can only afford five but the following year they can put in 15K”.

Such flexibility is commented on to signify the levels of association and commitment to the WHS. For example, respondent 26 contends that, “World Heritage is only a small part of my job ... I think once you’re involved and you come to learn about it you realise how important it is ... it’s one of the rewarding aspects of my work”. Similarly, respondent 29 argues, “This is the most pleasurable part of my work, if I had more time to commit to it I would, I already do so much extra work [unpaid] ... because it’s something I enjoy and it’s fulfilling”.

Commitment is also demonstrated through remaining dedicated to site responsibilities. For example, recalling the development of the AW Supplementary Planning Document (see Table 37) respondent 26 asserts, “it took time, we met as a group and we did it – it’s really a testament to people being committed to the task and what we were doing as a group. Some of us had to give way in certain areas. But it was for the best for the site and in the end we realised that”. Commitment has also been demonstrated by interests from the delivery group such as Scottish Canals who funded a Wall wide interpretation and access strategy.<sup>83</sup> Furthermore, respondent 23 suggests that this commitment has seen partners stay committed even if they don’t receive the benefits which they expect:

“The partners have to trust that, obviously, when they put money into a joint budget then they are getting a fair share of that out. In some cases they won’t and our partners are learning that and to their credit they are working on the basis that something will, at some stage, put in more for one project and not get the same return whereas on another they may get greater return for less investment”.

Resultantly, trust has been able to be fashioned between different groups. As respondent 27 highlights, “I think we have had, and still have, that enthusiasm and it’s very powerful. It’s brought people along and it’s created an environment where we trust and work together for the best interests of the site. Decisions may not always go our way but we don’t go away in a strop, really what we are doing is more important than that”. Respondent 26 reinforces this claiming that, “people won’t work with you if they don’t trust you. They’ll come into a room with you but they won’t trust you so they will just

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<sup>83</sup> Historic Scotland (2012) *Antonine Wall Interpretation and Access Strategy 2012*, Historic Scotland, Edinburgh

make your life hell. One thing that the Partners and members of the delivery groups have been able to do is build that trust as we have worked together”.

### **4.3.3 Interests outside the governance structure**

External to the AW management structure are numerous stakeholders such as local communities, businesses and landowners who have the ability to contribute or inhibit site management. As the management plan identifies: “Goodwill, community responsibility and stewardship are vital in order to ensure that the site and the area around it are managed appropriately. The community must be aware of the importance of protecting the site’s OUV and feel that they can make an effective contribution to management decisions”. In response, various approaches to promote such goodwill and awareness have been embraced. These will be discussed in the following sections.

#### **4.3.3.1 Representation**

Representation is the main technique for involving stakeholders, with the consultation process used to inform strategic documentation the leading approach. For example, the creation of a management plan relies heavily on consulting wider stakeholder interests.<sup>84</sup> As respondent 27 highlights:

“The management plan, we were very aware that it had to be community led, it had to be collaborative. So, we held a series of stakeholder sessions, one in each council area. That allows us to be able to say that if somebody doesn’t like something we’re doing along the wall they can point out that it’s actually the fruits of consultation and that it’s not something we’ve decided to impose”.

This approach has increased transparency which in the past may have been lacking. As respondent 23 highlights, “In the past we were accused of imposing our wishes of the six partners on things but that’s not the case now because it’s very from the bottom up and in collaboration with community groups and various partners”. Despite consultation, there are doubts over the potency of strategic documents. For instance, respondent 30 suggests that, “aside from people who get paid to do this as part of their job, I don’t think the community, shall we say in the wider sense, feels that that’s their plan. I doubt they have any sort of sense of ownership of it”.

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<sup>84</sup> Historic Scotland (2007) *The AW Nomination and Management Plan 2007-2012*, Historic Scotland, Edinburgh; Historic Scotland (2014) *The AW Management Plan 20014-2019*, Historic Scotland, Edinburgh

Others believe that involvement needs to go beyond consultation. For example, respondent 25 argues that, “local communities and businesses comment on documents but what use is that? There needs to be a more effective mechanism in place or they will just lose interest”. They continue, and argue:

“I think there’s a real lack of engagement with wider community stakeholders. Historic Scotland set up these working groups that simply involve officials from public bodies. World Heritage Site’s should be something that everyone should have a sense of pride about, not just people in officialdom”.

However, respondent 23 notes the difficulty in developing such formal arrangements and suggests, “Yes, it would be important going forward to have some sort of local group input in a more formalised way. But then that’s something else that needs to be organised and resourced and at the moment it something we can’t do”. Despite representation being limited, the governance structure is becoming more open. For example, respondent 23 emphasises that, “there will be new group setting up very shortly which is conservation, farming, animal management and that will have representatives of things like the NFU so, again, we’re trying to engage with wider stakeholders and bring them in”. However, while opportunities are improving for increased representation there is uncertainty over the need for such groups to be immersed into the site’s governance structure. For instance, respondent 30 emphasises that community interests are not required arguing, “they don’t need to be on there because they don’t tend to actually have any responsibilities for the management of the Wall. They’re interested in it, they love it, they want to see things happening but when it comes to the actual management of the AW then that’s really about responsibility”.

#### **4.3.3.2 Raising awareness and reputation management**

Raising awareness of the AW is important in engendering stakeholder consciousness and support. The management plan promotes this, identifying that, “intellectual risks include public apathy and/or lack of awareness or understanding of the AW”.<sup>85</sup> Table 38 highlights some of the strategies used to raise awareness.

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<sup>85</sup> Historic Scotland (2014, p.24) *The AW Management Plan 20014-2019*, Historic Scotland, Edinburgh

Strategy and Description	Source
<b>AW website:</b> In September 2014 a new AW website was launched offering a platform for information on the site, how it's managed, strategic documentation, learning materials, events, links to key attractions and organisations, and latest news.	<i>AW, News and Events (18/08/2014); AW, Management Plan (20014-2019)</i>
<b>AW logo and branded signage:</b> The AW has its exclusive logo which is encouraged to be used throughout the site and within Partner sites. This logo has been used at throughout the site on site specific signage, while North Lanarkshire Council has created their own WHS signage strategy.	<i>AW Interpretation Plan and Access Strategy (1/3/14); AW Management Plan (20014-2019); Cumbernauld News (16/10/2009)</i>
<b>Leaflets and walking and cycling trails:</b> Historic Scotland has created an AW Leaflet. Falkirk Council, North Lanarkshire Council and West Dunbartonshire have created documentation on walking and cycling trails and discovering the sites along the AW.	<i>AW Interpretation Plan and Access Strategy (1/3/14); AW Management Plan (20014-2019)</i>
<b>Community projects and events:</b> The partners organise and provide assistance to projects and events. Examples include: World Heritage Day activities, doors open days, the Big Roman Week; exhibitions at local museums, and litter picking events in Falkirk.	<i>AW News and Events (20/2/2009; 3/9/2014; 4/9/2014); AW Management Plan (20014-2019); Cumbernauld News (8/4/2010; 09/02/2012)</i>

**Table 38: AW strategies for raising awareness**

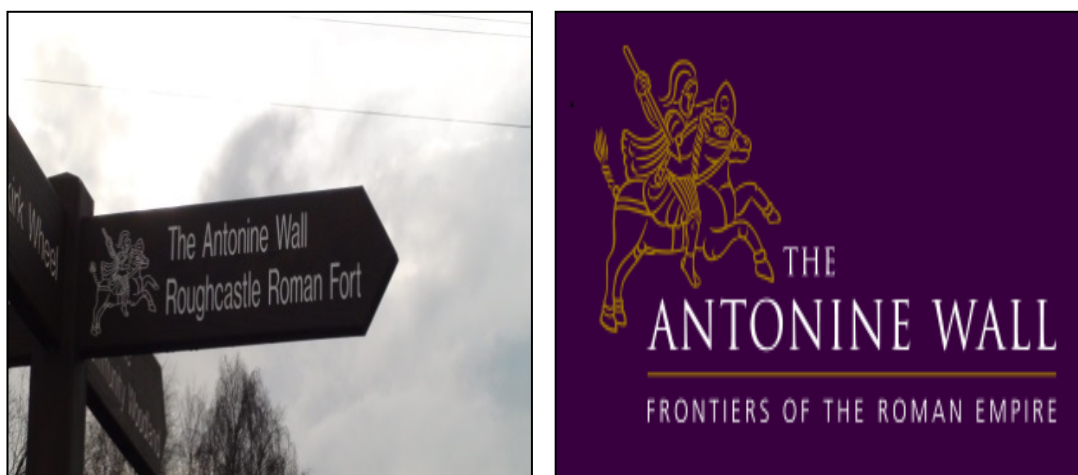
The strategies highlighted in Table 38 have been instrumental in elevating the awareness of the AW. As respondent 29 argues, “people are certainly more aware of the site, albeit we could do a lot more, but what we have done has been great”. Recalling a walking event, respondent 27 highlights the value of such projects: “we did a walk along the Wall, there wasn’t very much to see, but when we explained the history people were gripped and it made them think ‘well, actually, that’s in our neighbourhood and it’s a bit of history’ ... next time we had about 40 – 50 people come along”.

Many of the events and public consultations which take place have also gained media coverage, for example: Big Roman Week,<sup>86</sup> consultation on managerial documentation,<sup>87</sup> community projects,<sup>88</sup> and highlighting funding successes.<sup>89</sup>

<sup>86</sup> Linlithgow Gazette, *Pius date for Roman Week*, 13/09/2014; The Falkirk Herald, *Going big on the Romans in Falkirk* (14/09/2013); Falkirk Herald, *The Romans are back building roads in Bonnybridge* (09/11/2010)

<sup>87</sup> Cumbernauld News, *Have your say on the future of the AW* (10/04/2013); The Falkirk Herald, *Partnership is the key to realising Wall's potential* (08/08/2008)

Emphasising the importance of this, respondent 29 claims, “When we do good things it’s great that the newspapers pick up on it, it gives us an extra way to reach everyone, I’m sure it helps”. The introduction of branded signage and the AW logo is also praised. As respondent 26 maintains, “it lets everyone know that we are a WHS and it’s something that can be used on signs and paths, museums and on interpretation plaques, people have been complementary”. Figure 17 highlights examples of the AW logo and its use.



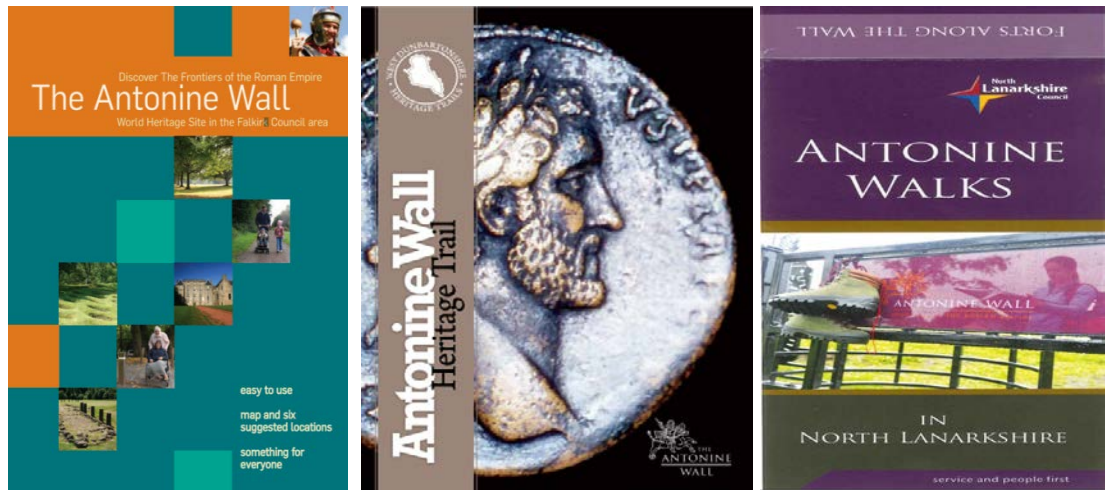
**Figure 17: AW example branded signage and logo**

Despite the branded signage, its use has been varied. As respondent 25 comments: “there isn’t a cohesive strategy and they’ve had big debates about signs and you think ‘how long does it take to get a few signs up?’ ... getting signs and interpretation up would get people more aware of what’s around them ... but for the most part it’s still a bit patchy and it’s hard to find things”. The creation of walks and cycling trails (See Figure 18) has also offered a platform from which wider interests have been able to engage with the Wall. Highlighting the benefits, respondent 27 emphasises that “the trails have been a wonderful addition, they’re used by many local groups ... it also provides social and health benefits too and that what it should be about, bringing people together”.

<sup>88</sup> Cumbernauld News, *Find out what the Romans did for us* (08/04/2010); Cumbernauld News, *These routes were made for walkin'* (20/02/2008); The Falkirk Herald, *Help make this year's event the biggest spring clean ever* (12/03/2009); Milngavie and Bearsden Herald, *Have your say on the future of the AW* (3/4/2013); The Falkirk Herald, *Spring clean launched at Antonine* (02/04/2009)

<sup>89</sup> Cumbernauld News, *Small projects that will make a big difference* (16/10/2009); Cumbernauld News, *Splashing the cash* (15/10/2008); The Falkirk Herald, *Greenspace initiative wins top prize for Falkirk* (05/09/2012)



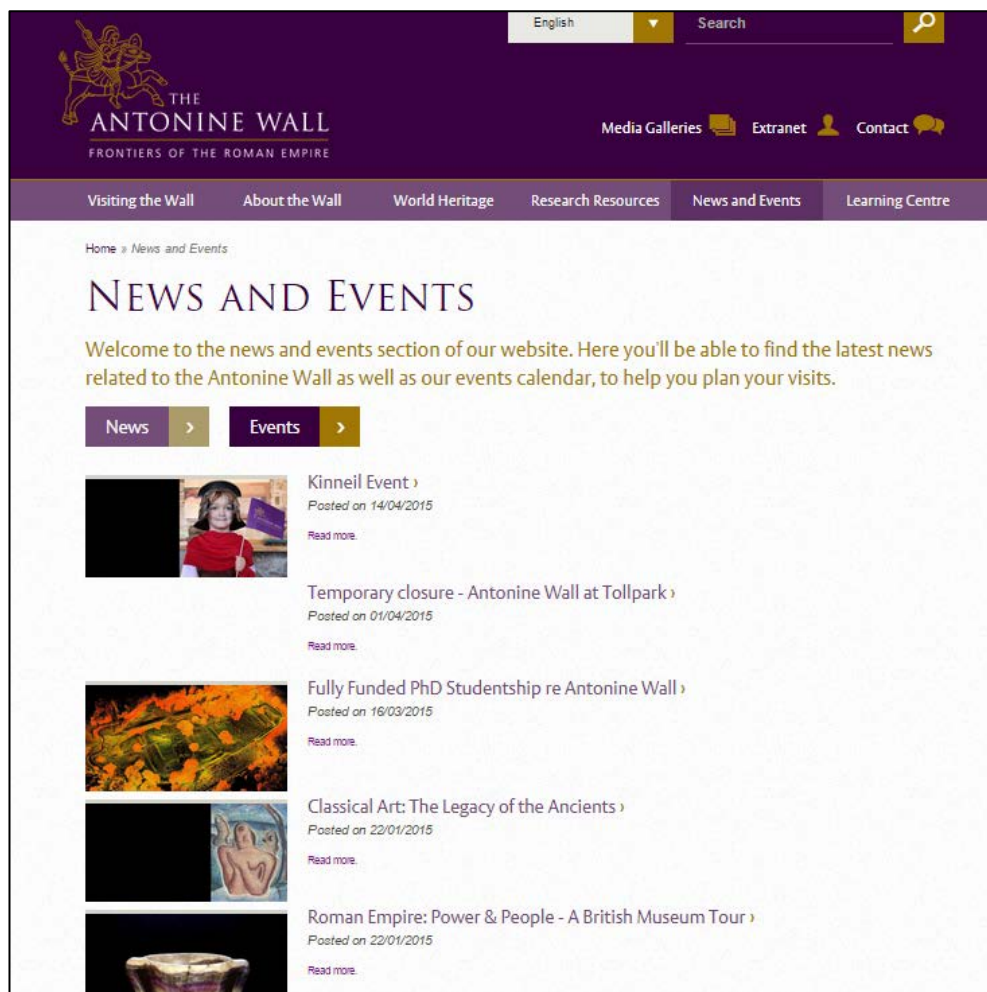


**Figure 18: AW partner promotional documentation**

**Created by: Falkirk Council, West Dunbartonshire Council, and North Lanarkshire Council.**

**Source: AW, *Documents*, Available From: <http://www.antoninewall.org/world-heritage/documents> (15/01/2015)**

The refurbishment of the webpage has been significant in heightening engagement. As respondent 26 identifies, “we’re about to launch the new website, which has been the weakest link between the Council and stakeholders; we’ve had a very poor website, it’s so crude and basic”. Despite this, the new website is criticised by respondent 25 who argues that, “the news feed on the site is pretty poor, hardly anything goes up on it ... there is no social media presence either”. Figure 19 highlights the limited number of new items which have been updated since the new website’s launch in September 2014 (nine in total, and only 5 in 2015).



**Figure 19: AW news and events.**

**Sources:** AW, News and Events, Available From: <http://www.antoninewall.org/news-and-events> (19/10/2015)

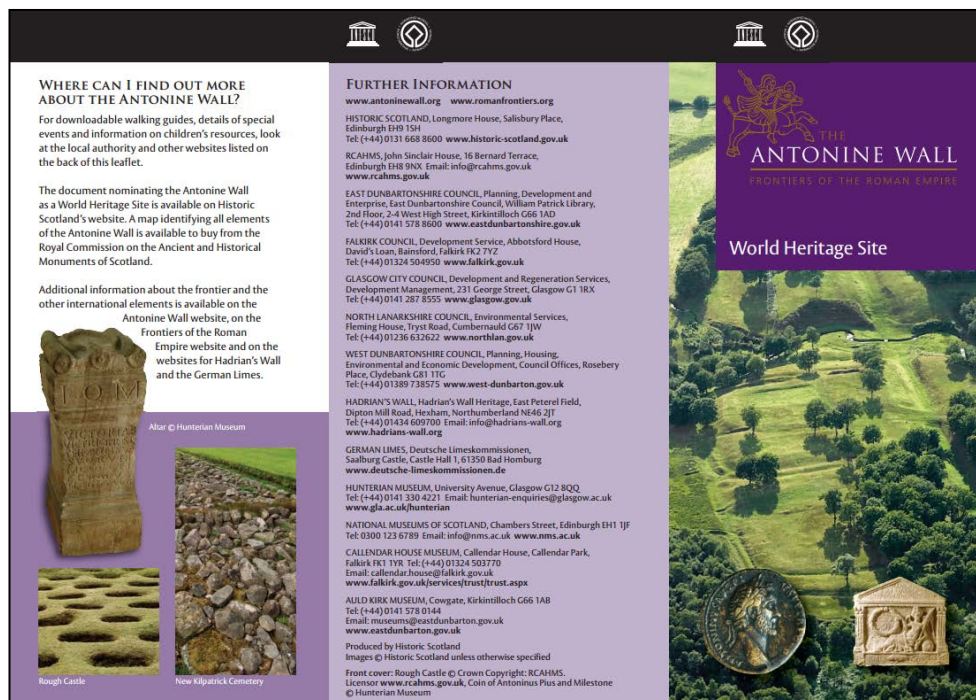
Despite attempts to elevate awareness and engagement there is some concern over its effectiveness. For example, the 2014 'AW Interpretation and Access Plan' highlights that, "understanding of the importance and values of the AW remains limited; public surveys show an awareness of where and what the AW is but not why it is important to preserve and present it". Furthermore respondent 27 emphasises that, "engagement is with parties that are already interested. In terms of land owners, businesses and communities we've still to crack ... the size of the site and the scope means that we don't actually know who they all are".

While there are concerns over the level of engagement throughout the AW others highlight the need for patience. For example, respondent 23 highlights that, "you need to remember we are under resourced and a relatively new WHS, things don't happen overnight, or even in a few years, this is going to take a lot of time. It's something people just don't realise". Nevertheless, the management plan does have in place future

aims which seek to enhance engagement, and includes: the establishment of a local stakeholder's forum, social media by the end of 2015, and the establishment of a Friends group a 2018-2019.<sup>90</sup> As respondent 28 claims, “the new plan has lots of ideas, for example newsletters, social media, volunteer programmes ... if things like that transpire then hopefully so will the support”.

#### 4.3.3.3 Education

Education is fundamental in engaging stakeholders. For example, respondent 24 highlights that, “My utopia would be a world in which we didn't have any laws to protect ancient monuments because everybody thought they were so important they would protect them anyway. And this is what producing education is all about”. Respondent 26 also believes that education is essential to building better relationships with landowners, suggesting, “just talking to them, educating, getting them to understand is important. They need to come to the table and say, ‘I accept it. I have to open up my land and we've got a World Heritage Site running through it’”. Illustrated in Figure 20, Historic Scotland has also produced leaflets which inform audiences of the significance of the WHS:



**Figure 20: Historic Scotland AW leaflet**

**Source: Historic Scotland, Information and Resources, Available From: <http://www.historic-scotland.gov.uk/antonine-wall-whs-leaflet.pdf> (15/1/2015)**

<sup>90</sup> Historic Scotland (2014, pp.48-58), *The AW Management Plan 20014-2019*, Historic Scotland, Edinburgh

Providing educational experiences has occurred across the AW, with examples including exhibitions and workshops at local museums such as Callender House, the Hunterian Museum: and the Auld Kirk Museum in Kirkintilloch, East Dunbartonshire.<sup>91</sup> Despite this, a more coordinated approach is needed, as respondent 27 stresses, “some places like us do some great stuff that’s bringing in local families and residents, but across the site is a bit sporadic; there needs to be more of a communal effort to get some synergy across the Wall”.

Targeting younger generations is also important and done through various strategies including: educational resources which cover early years, and primary and secondary level;<sup>92</sup> children from Bellahouston Academy entered a competition and winning a prize to go to a World Heritage conference; familiarisation trips; joint projects with schools and Partners such as Historic Scotland; and individual museums offering themed workshops.<sup>93</sup> Enhancing the awareness and educational use, not just of the AW but of World Heritage, is championed by respondent 26 who claims “if schools can get it into the curriculum and get kids out onto the wall, then they will bring their parents at the weekends ... and if they’re doing a project on it, they’re more likely to look at the website, generate interest, generate visits and, hopefully, then generate a better understanding”.

#### **4.3.3.4 Support**

Across the WHS some support has been provided to various projects and activities by the steering group. This includes: the erection of a replica of the Bridgeness Slab<sup>94</sup> in Bo’ness through a joint working between the Bo’ness community and Falkirk Council,<sup>95</sup> supporting the Friends of Kinneil’s Big Roman Week,<sup>96</sup> and Friends of

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<sup>91</sup> Historic Scotland (2014) *AW, Research to Inform an Education Strategy*, Historic Scotland, Edinburgh

<sup>92</sup> AW Website, *Learning Centre*, Available From: <http://www.antoninewall.org/learning-centre> (15/1/2014)

<sup>93</sup> AW Website, *Drumchapel Pupils on the Antonine Junior Health March*, (04/10/2010); AW Website, *Drumchapel School’s Roman Sculpture Project*, (04/10/2010); AW Website, *Glendale Primary and Bellahouston Academy joint visit to the AW*, (26/11/2010); AW Website, *Scottish World Heritage Youth Summit*, (04/10/2010); The AW Management Plan 20014-2019, Historic Scotland, p.48-58; The Falkirk Herald, *Bonnybridge school celebrates its 25th birthday*, (19/06/2013); The Falkirk Herald, *Help make this year's event the biggest spring clean ever*, (12/03/2009)

<sup>94</sup> Uncovered during excavations by Henry Mowbary Cadell, the Bridgeness Slab was discovered in Bo’ness in 1869. Known as a roman legionary distance slab, they were erected by military units to memorialise their work. The original slab was gifted to the Museum of Antiquities in Edinburgh, where it is now displayed in the Museum of Scotland.

<sup>95</sup> Linlithgow Gazette, *Slab replica earns Bo’ness a place on the tourist map*, (23/3/2012); The Falkirk Herald, *Gift from Falkirk past to the future*, (6/10/2012); *The AW Management Plan 2014-2019*, Historic Scotland

Kelvin Valley receiving funding for AW projects.<sup>97</sup> Reflecting on the Bridgeness Slab project, respondent 25 highlights the importance of these projects stating that, “we community thought ‘let’s try and revitalise this’ and put a replica there - and that has created and generated a lot of public interest. So its stuff like that, you know, creating that sense of local ownership of those kinds of projects”. Despite support, many projects are community led and more needs to be done by the steering group. For instance, highlighting that both the Big Roman Week and the Bridgeness Slab project were community driven, respondent 25 argues:

“We weren’t waiting for Historic Scotland who did finally support the projects ... but, actually it was driven by the community, myself and people on the council. And, had we sat back and said ‘we’ll leave public agencies to just do it all’, I don’t think it would have happened as quickly. They have helped with the odd thing. They’ve sent a ranger to do a walk or something but it’s been a bit kind of ... you think, ‘actually, you should be leading this’”.

However, the lack of funds is a stumbling block in offering support. For example, respondent 23 stresses that, “Polmont Woods ... we didn’t have capacity to work with. They were interested and came to us but we didn’t have the staff capacity. And we didn’t have anyone else in the Falkirk area that could do it”. Others suggest that there is a need to manage expectations of what can actually be undertaken. Contemplating the shortage of funding, respondent 28 highlights:

“I think it’s something of a vicious circle. If you engage and people see things happening they want more. I think the problem centres on managing expectations and we don’t have the capacity to launch a huge drive to say we want more to become involved and engaged. We do it where we can, where we have the capacity and that may be one council, it may be two or three councils but it may not be across the board”.

Business support and engagement is also limited despite the management plan necessitating the need “to develop and foster links and partnerships with local tourism providers and other businesses, to provide an enhanced visitor experience and develop collaborative business opportunities”. As respondent 27 argues, “there is a big need to

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<sup>96</sup> Big Roman Week was created by The Friends of Kinneil – a charity set up to help promote and develop Kinneil Estate and Foreshore in Bo’ness. Activities include; free exhibitions on the Romans in local museums, guided walks along the AW, Roman heritage displays, and family events which focus on Roman experiences. The event is supported and part funded by organisations such as the Falkirk Community Trust, Falkirk Council and Historic Scotland.

<sup>97</sup> The Friends of Kelvin Valley obtained: £40,000 LEADER funding (with North Lanarkshire Council) for 12 kissing gates along the line of the Wall to improve access and a Roman soldier at Castle Cary (2010); and 12,000 for seating and signage in Kilsyth Village and guided walks along the AW.

work with businesses, to talk up the importance of the WHS, highlight the possible benefits ... and in turn these businesses would be comfortable spending money on promoting the Wall. But that hasn't really happened here or in Scotland really". Despite this, there have been recent attempts to better understand the business community. For example, in December 2014 the Partners created and promoted a business survey in an effort to better comprehend and identify existing and future actions associated with the AW in an attempt to enrich its social and economic contribution.<sup>98</sup>

#### **4.3.3.5 The influence of engagement**

Through engaging with wider stakeholders, the steering group have secured some levels of patronage. Commenting on the Bridgeness Slab project, respondent 25 emphasises that, "the Slab has been there about two years now ... and we've had no vandalism on the site which I think is a real testament. And maybe, actually, that says that people are quite respectful of it and they say this was a really cool thing and it's a really good thing for the town and why should we destroy it?" Respondent 27 maintains this claiming that, "there are local history groups – for example, in our patch there is the Friends of Kinneil ... they're very enthusiastic, they love it. Always getting in touch and wanting to do x, y and z. They work with us all the time".

The proactive nature of some of the groups demonstrates their level of commitment to AW. As respondent 26 highlights, "I think certain groups have a good understanding, certainly. We have groups in the Kelvin Valley, they've secured funding through Heritage Lottery and they deliver projects and they're very switched on and so involved in everything". Furthermore, the level of support garnered within local communities is highlighted by their commitment to local events. For example, commenting on North Lanarkshire, respondent 26 stresses that, "they would be our go to if we were looking for local advice and local information and we do rely on them for, for example, Doors Open Day, they are always trying to do something with AW and they always do guided walks for us".

Despite this, there is the belief that this support is limited and there needs to be more done to develop the relationships with stakeholders. For example, respondent 29 argues

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<sup>98</sup> East Dunbartonshire Council, *Local businesses invited to share their views on the future of the AW* (20/12/2014); Falkirk Council, *Local businesses invited to share their views on the future of the AW* (18/12/2014)

that, “yes, as people become more aware it will become part of that cultural identity. They will be more protective of it, the problem we have is that the site is so large that it’s difficult to develop those personal relationships. If you can’t build those then it’s a major barrier”. This is supported by respondent 25 who asserts, “there’s always that kind of nervousness that you think, actually, are people just playing the game and saying the right things or being quite positive but, actually, are they going to deliver on the ground? I suppose for the community, until they actually see delivery of things they will say ‘we’ll wait until we see it’ kind of thing”. Therefore trust from wider interest can be difficult to maintain. As respondent 25 argues, “there have been a lot of people with a lot of good ideas but not a lot of stuff on the ground. And they [the steering group] will say ‘oh, it takes time; it takes a lot of time to do stuff’ but the community can do a nine day festival and do things that actually animate the space and get thousands of people interested in the site. So yeah, they lose a bit of faith with them, but certainly not in the Wall”. However, where there have been collaboration foundations, personal relationships have been built. As respondent 27 argues, “to an extent, it has created, dare I say, better citizens in the sense that people who have respect for each other, they want to work with us, care and are concerned about the environment and for their heritage, proud of their culture”.

#### **4.3.4 Challenges to cooperation and involvement**

Despite the significant levels of collectivism throughout the WHS there are numerous avenues which provide barriers. Each will be outlined in the following sections.

##### **4.3.4.1 Conflicting interests**

One challenge is the differing agendas and concerns which reside within individual interests both within the management structure and those outside of it. As respondent 23 stresses, “balancing six different people’s, often conflicting views on what the wall means to them, before you engage other stakeholders, is difficult”. Respondent 27 reaffirms this, highlighting that, “Every few seconds there is an issue around about how do we do something, how collective responsibility can be attained among organisations’ differing agendas and other concerns”. Such issues can lead to relationships breaking down. Respondent 25 recalls an incident where he felt Historic Scotland were not being responsive to other group’s views: “I had someone from Historic Scotland tell me ‘we’ve decided this’ and I said ‘who elected you?’ and I got a lot of praise from others



at the meeting”. Highlighting a recent delivery group meeting, respondent 27 suggests that the differing agendas can affect the commitment:

“This morning there was this strange person at the end of the table and we were like ‘who’s this guy’ (somebody from the forestry commission) ... there is a seat at the table for particular bodies, but that seat is occupied by different people every time which indicates, are they really taking this seriously? Where is it on their agenda and where is it in their planning?”

However, respondent 26 suggests that this is just part of the process as people are constrained by their own organisations/groups interests highlighting, “I think a lot of it, in terms of partnership working, is to do with the personalities involved and how much interest, I suppose, they have and how far they can push it within their organisations. Such concerns also reside within the wider stakeholder network. For example, respondent 23 argues, “you know, whether it’s farmers, businesses or walkers, they all have their own concerns and the Wall largely isn’t one of them ... and understanding these are important, they need great consideration ...”

Such problems act as an obstacle to fulfilling proposed enhancements for the benefit of the site. One example of this is the recommended creation of a visitor centre along the AW.<sup>99</sup> As respondent 29 argues, “So, there’s a bit of ‘there’s not much point in having five visitor centres’, for instance, across the wall because they’re going to knock each other out of the picture. But where would you have one? Wouldn’t people just go there? So, there’s tension”. Respondent 26 supports this arguing, “There is that jealousy thing; we’ve all got our own interest and while collectively we are working towards a single entity, when it comes down to it, everyone wants the best for their own patch”. Challenges also arise when people are, at times unintentionally, omitted from discussions. For example, respondent 24 recalls, “we made a decision and I thought I’d talked to everybody on the issue separately, but I’d missed somebody out by mistake. So, I got this email saying he was surprised that it was sprung on us and, unlike my usual way, there was no discussion of the issue. It took a bit of time before they come back on board”.

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<sup>99</sup> Recent proposals have recommended the development of a visitor centre along the AW as it is argued that, “the remains of the Wall largely consist of ditch and bank structures, and are not particularly impressive, or comprehensible, to the non-specialist. It is possible that the provision of a dedicated AW visitor centre could facilitate the provision of information to fully understand the Wall, and could also encourage excitement about the Wall”. Source: Historic Scotland (2014, p.25) *The AW Interpretation Plan and Access Strategy*, Historic Scotland, Edinburgh



#### **4.3.4.2 Time**

A significant challenge is organisations finding sufficient time to dedicate to the WHS. As respondent 30 highlights, “there’s a challenge of finding time to engage with it ... this is only maybe a fifteenth, twentieth of my work. You’re always like catching up, trying to make sure you’ve met deadlines and fulfil what you said you will do at the working groups”. Also, respondent 23 contends that, “I suppose time and staff from our perspective is a barrier because we need more of that if we’re going to engage properly ... and when you’re dealing with everything else you don’t have time to devote to project management in the same way”. Time is also a significant factor in building up the necessary relationships for effective management. For instance, respondent 27 highlights that, “it’s all about building trust over time and that ... I don’t think you can deal with that from the outset ... it’s taken us three and a half years, really, to get to this stage”.

Recounting their duration as the AW coordinator, respondent 24 recalls how certain issues take time, “it took me two years to persuade them [local authorities] that the issue was the monument, not what our own little level of responsibility was ... and even then, after that, there was a fall back and I had to speak very firmly to somebody”. However, throughout time individuals who were once involved in the governance approach leave the situation or are reassigned or leave their employment. As respondent 23 highlights, “the problem is also that people come and go and you lose that sense of collective. Then you have to rebuild with new people and that takes time ... building trust and relationships”. Respondent 26 also highlights this arguing that, “you are heavily reliant on people who are interested and the minute you lose them, you’re literally back to square one. And we’re at that stage at the moment for several of our partners where staff reorganisation means that we’ve lost quite a lot of very heavily involved individuals”.

#### **4.3.4.3 Enhancing the benefits**

A better understanding of the potential benefits of being a WHS could engender support and combat some of the barriers surrounding involvement and collaboration. Highlighting possible benefits could also unlock the door to issues surrounding access to specific areas of land. As respondent 26 asserts, “it’s getting them to understand the benefits of conservation and being in such a wonderful place. They need to come to the table then maybe they can gain some benefits from ... diversification sort of business venture”. However, highlighting the benefits is difficult. As respondent 25 asserts, “it

needs to have something happen. If we simply have lots of documents going through council committees and people endorsing them saying ‘oh yes, we all support the Antonine Wall’ but they don’t really see any real importance to it, I don’t think it will go very far”. Others suggest that even though there are some benefits, they don’t spread across the AW. For example, respondent 29 highlights that, “things aren’t flowing off the top of it independently ... there might be bed and breakfasts or cycle hire or stuff starting to come in the North Lanarkshire and Falkirk area, but it’s not coming in Glasgow. Maybe if it did there would a greater level of awareness”.

Due to the lack of tangibility, linking the Wall to other visitor attractions could enhance its benefit, however to date this has been underdeveloped. For example, respondent 26 argues, “we really need to maximise on not just one attraction because none of them on their own stack up, you know, none of them are really going to bring a vast amount of tourism or day visits”. Respondent 25 supports this suggesting, “they might want to come and see the Kelpies but then didn’t realise they could find out about Romans. I think that’s the opportunity. If it simply just said ‘we’re a dusty Roman site with not a lot to see and there are some lumps and bumps in the ground’ it will interest academics but not a lot of other people”.

#### **4.3.4.4 The notion of World Heritage**

The issue of understanding the significance of World Heritage status is also cited to be a problem. Respondent 26 highlights that, “not a lot of people quite understand what World Heritage is. I would imagine you could go down into Kelvin Valley and ask and the people ... only three or four people will realise they have a WHS”. Respondent 23 even emphasises the challenge of understanding World Heritage within Historic Scotland claiming, “I think even within this building you would struggle to get people to understand what World Heritage actually is and I think most of us coordinators probably didn’t fully understand until we actually took on the role”.

The AW’s lack of tangibility is also a pertinent intricacy, especially in engaging with community interests. Commenting on Glasgow’s council involvement, respondent 29 contends, “it’s difficult for us to get involved because we have so little of it ... it’s easier in Falkirk and North Lanarkshire where the communities can engage with the wall because it’s there in the background ... it’s a bit easier if you can see the visibility

and you can engage with it physically”. This lack of physicality also acts as barrier in gaining the responsiveness of landowners such as farmers. As respondent 23 argues:

“It’s trying to make sure that the wall is a benefit to the land owners; that they don’t see it as a hindrance and, therefore, don’t start doing things that they shouldn’t do. Some of them see it as positive that they’ve got the wall going through their land. Some of them don’t know it’s there or they do but they ignore it because it’s not visible anyway”.

However, respondent 30 is more pragmatic and emphasises the need to consider different approaches to overcome the lack of visibility; “for Dunbartonshire tourism it is never going to be a big thing so we need to think of the other approaches for them engaging communities. And it’s mostly regeneration, some interpretation but also the educational element”.

#### **4.3.5 AW WHS Summary**

The AW case emphasises not only the complexity of the site, but the intricacy of its management. Spanning five local authorities and containing multiple interests, its management is undertaken by a steering group containing representatives from these local councils and Historic Scotland. Supported by delivery groups containing differing stakeholders, the steering group strives to deliver the site’s management plan. However, the wide stakeholder network, and multiple ownership patterns, represents a difficulty in developing a collective approach to management.

The management structure in place, namely the steering group and delivery groups, offer an avenue from which collaboration has been encouraged. This ‘internal’ environment provides a platform from which different interests have been able to come together to plan, discuss and build meaningful partnerships. This is supported by open communication and the embracement of a team-working ethos. The case also suggests that the dedication, commitment and leadership of the coordinator has knitted the different interests together and acted as a driver for making the management function effectively. Nevertheless, the effectiveness of the steering group and delivery groups has come into question. These concerns centre on: the delivery groups effectiveness, inadequate stakeholder representation, limited coordination between representatives, and the over reliance on a sole WHS coordinator. Despite these criticisms, the internal environment has had an influential impact on those interests within it. The findings highlight that this includes: heightened commitment, individuals being more

understanding to others concerns, increased long-term perspective among interests, friendly relationships being created, and trust being fashioned.

Outside those interests within the management structure are numerous stakeholders who can influence site management. To promote involvement and support the steering group has instigated numerous approaches including: representation, raising awareness and reputation management, educational mechanisms, and some assistance. Despite this, scepticism still remains over the potency of their value. For instance, doubt still resides in the levels of support executed by the steering group, the lack of stakeholder engagement, and the inconsistency of the representation within the WHS. However, this lack of support may stem from the limited amount of resources which the site has at its disposal and the lack of staff capacity. While there is uncertainty surrounding some of these, the strategies employed have had some levels of success and has included elevated appreciation and commitment, the development of a more conservational minded network, and levels of heightened involvement. However, the level of patronage towards the site is still limited, with the need for relationships with wider stakeholder and the steering group to be more robust.

While levels of collaboration have seen to be fostered throughout the WHS the findings also draw attention to numerous barriers which have prevented collective action. This includes issues relating to: conflicting agendas, time, the challenges of demonstrating the benefits of WHS status and the notion of World Heritage itself. What these issues highlight is that, despite attempts made to create a congruent environment in which collective and supportive management is nurtured; there are constant, and every day dilemmas which have the ability to fracture such favourable settings.

#### **4.4 Summary**

The purpose of this study is to explore the extent to which custodianship behaviours within a diverse and complex network of stakeholders within WHS management can be achieved. This chapter highlights the findings derived from the evidence collected in order to fulfil the aims and objectives of this research. Through the process of within-case analysis, this chapter has described and discussed the findings of each case in isolation. Each case analysis has not only demonstrated the managerial complexities involved with administering a WHS, but has emphasised the need and desire for a

collaborative approach which involves multiple interests. The structure of this chapter was divided into an analysis of each site's internal and external environments and the impact of the strategies and approaches to management within them. Each case site also highlighted the challenges which act as a barrier to site management and especially to the development of collective approaches to management. The sites highlight both similar and different approaches to administering relationships within their internal and external environments, with varying levels of success. Additionally, each case unearths challenges which not only resonate across cases, such as time and resources, but also have difficulties distinctive to their site. Chapter 5 will build on these within-case analyses through a process of cross-case analysis. This process will not only highlight similarities between the cases, but also emphasise variations. This discussion will be examined in regards to extant literature and in relation to the themes (see section 2.4) guiding this study.

## **5 Discussion**

In Chapter 4 the case findings were identified and discussed. These were produced as part of the analysis of the information collected from the data gathering techniques used within this study. This chapter will discuss the findings presented in Chapter 4 through the process of cross-case analysis based on the themes identified previously from the literature review in Chapter 2. These themes will be explored and examined in relation to extant literature.

The aim of this research was to investigate combining stewardship and stakeholder perspectives to develop a custodianship behaviour model for the management of WHSs (see Figure 21). Custodians or custodianship behaviour refers to individuals who are collectively minded, pro-organisational, and value the long-term sustainability of the group and the WHS. As emphasised previously, WHSs are administered by distinctive arrangements, with their overarching management typically consisting of various groups with differing interests and remits coming together through goodwill and meeting on an intermittent basis. Despite meeting irregularly, the decisions they make in isolation have the ability to affect the WHS and the functioning of the management group. Therefore, these bodies represented within the governance structure are managers of World Heritage making them responsible for the protection of the site. Furthermore, these individuals or groups often represent specific interests – whether it is local authorities, private/public/charitable bodies, businesses or local community groups (van der Aa et al., 2004; Xu & Dai, 2012). As a result, they are also answerable to their managers/owners of their own establishment. Due to these different interests, WHS management groups are, at times, characterised by tension and divergence (Bell, 2013; Harrison, 2004a). Therefore, the development of custodianship behaviours among these differing perspectives appears favorable.

Furthermore, outside this internal managerial approach are numerous stakeholders who reside within the parameters of many WHSs. This not only includes different public/private bodies and businesses, but also community groups and building owners. Therefore, they also have an important role to play as their actions have the ability to facilitate or hinder site management; creating custodians among these interests is equally important. As Drost (1996) argues, people must act conscientiously and regulate their own behaviours to bring about long-lasting change. This chapter, like the findings,

will be segmented to the internal and external environment. To restate, the internal environment refers to those organisations and interests who are represented within the WHS management group or structure of the case sites. The external environment refers to those interests outside this managerial framework and explores the engagement strategies used to capture their awareness and the perceived impact of these tactics. The following sections provide a cross-case analysis of the three sites with respect to existing literature.

## **5.1 The Internal Environment**

In this study, each site's internal managerial environment endorses a setting where stakeholders are able to come together. This is vital in generating collective action and creating a foundation for site management. The creation of custodians is dependent on the situational and structural factors within their organisational context (Davis et al., 1997; Wasserman, 2006). Therefore, custodianship is more pertinent in organisations which fosters trust, promotes collaborative or collectivist approaches, and encourages intrinsic motivations (Aguilera et al., 2007; Davis et al., 1997; Tosi et al., 2003). However, for many of the organisations within the internal management structures, World Heritage is not their sole focus and are not bound to any formalised contract (Hampton, 2005; Shetawy & El Khateeb, 2009; Wall & Black, 2004). Therefore, the nurturing of custodianship appears aspirational for such places. Through cross-case analysis, the following sections will explore the internal management environments of this study's WHSs and discuss the extent to which this has facilitated custodianship.

### **5.1.1 Involvement**

Developing custodians is dependent on collective environments where decision-making is widespread (Davis et al., 1997; Godos-Díez et al., 2011), and individuals feel involved and that they are making a difference (Segal & Lehrer, 2012). Nurturing such involvement is witnessed across the sites, facilitated through their managerial structures. All the sites operate with a leading steering group, or in the Derwent case, a board. These groups, especially at the AW and Edinburgh, are restricted and tend to include those perceived to have the most responsibility and funding accountabilities for site management. In contrast, the Derwent board highlights a wider breadth of representation, involving commercial interests along with local authority immersion. All sites incorporate broader stakeholder involvement through their use of forums and working groups, allowing different interests to be involved in decision-making

processes (see sections 4.1.2.1, 4.2.2.1 and 4.3.2.1). The immersion of various stakeholders enables them to have a voice within decision-making processes - a valuable element in creating participatory environments (Eddleston & Kellermanns, 2007; Walton, 1980). This resonates with the involvement-orientated/high commitment management ethos which is a requisite in developing custodianship behaviours (Donaldson & Davis, 1991; Shen, 2003). For example, involvement, and making meaningful contributions creates the foundations for individuals to gain more gratification in their undertakings (Hernandez, 2008).

### **5.1.2 Open communication**

Open communication helps facilitate custodianship behaviours (Caldwell et al., 2008; Davis et al., 1997; Hernandez, 2008). This refers to open communication channels between people, providing the opportunity for views to be freely expressed, and for information to be accessible (Walters et al., 2015). Throughout the sites this has been integral to the creation of an environment where groups function effectively together. For example, at Derwent the partnership forum and working panels develop dialogue between representatives, while the site's board openly communicates with stakeholders. Similarly, in Edinburgh communication is open and continuous, facilitated through the cross-organisational working between EWH and HS. Also, dialogue is aided through the stakeholder forum and interactions with Edinburgh's city centre management group. The Antonine case also highlights the promotion of open communication, with the steering and working groups vital in ensuring that discourse is open and continuous.

All sites express the value of open communication as it encourages stakeholders to come together and to express their views, and allows groups to understand where other interests are coming from, and for World Heritage to be reinforced (see sections 4.1.2.2, 4.2.2.2 and 4.3.2.2). The Edinburgh and Derwent cases also suggest that through dialogue, informal relationships have been fashioned which has resulted in affiliations where advice has been sought out with formal interactions. Such dialogue and mutual understanding is central in fashioning communication processes which allow for open and honest exchanges (Caldwell & Karri, 2005; Davis et al., 1997). This is instrumental in providing opportunities when possible difficulties can be overcome, preventing the festering of embedded tension (Huse, 2005). This perspective is also endorsed by Chiabai et al. (2011) who found that that participatory processes are effective in promoting collaboration and communication among differing stakeholders.



Communication of information is vital in ensuring clarity of organisational missions and values (Walters et al., 2015). Each site's strategic documentation - importantly the management plan - provides the groundwork for outlining the sites OUV, the significance of World Heritage, and publicising stakeholder responsibilities (see sections 4.1.1, 4.2.1 and 4.3.1). Across the sites, respondents indicated that the management plan was a starting point to build a robust framework for site management and in bringing together stakeholders to work towards a common mission. Both Edinburgh and Derwent also communicate to stakeholders through news feeds, publications, and social media. This allows issues pertaining World Heritage to be amplified within the management environment. However, while the AW does have a latest news feed, it doesn't use newsletters or have social media, therefore, limiting the intensity of their communication.

Collectively, the sites highlight environments where open dialogue is combined with the accessibility to the relevant information. This not only outlines stakeholder responsibilities, but provides contextual support by promoting and outlining the values and mission of the WHSs (Donaldson & Davis, 1991; Hernandez, 2008). Also, the value of keeping people informed and aware of the organisation's activities is implied to generate feelings of involvement, commitment and trust (Caldwell et al., 2008; Caldwell et al., 2010). This is supported by Walters et al. (2015) who found that collectively minded managers are more likely to be developed when information asymmetry is diminished. Additionally, Bell (2013) highlights that strategic documentation can act as platform from which collaboration and negotiation can be effective elements of WHS management, allowing groups to work together towards a shared vision (Bell, 2013; Landorf, 2009).

### **5.1.3 Collaboration**

Collaboration lies at the heart of stewardship theory (Shen, 2003) and is a precursor to developing stewards (Godos-Díez et al., 2011; Jaskiewicz & Klein, 2007). Across the sites, collaboration is essential and endorsed through their strategic documentation. Furthermore, the sites governance structures have created the foundations for collaboration to transpire, evident through projects and documentation that rely on multiple group involvement (see Chapter Four, Table 27, Table 33, and Table 37). Through this, the benefits of pooling skills and resources have become evident,

providing motivation for long-term partnership working. The cases also stress that working collaboratively has been key in raising conciseness of their site's historical significance. However, levels of collaboration differ across the sites, with Edinburgh and Derwent highlighting extensive use and reliance on partnerships. Conversely, collaboration at the AW is infrequent, slow-moving, and independently driven, reinforced through respondents' belief that more would benefit site management.

Current perspectives on WHS management also emphasise the necessity for team-working as a means of developing cooperative partnerships and collaborative environments (Drost, 1996; Harrison, 2004a; Lask & Herold, 2004). For example, Hernandez (2012) argues that through collaboration, individuals are not only encouraged to work towards a valued communal end, but are cultivated to think more collectively. The Edinburgh and Derwent cases also highlight how some projects have been dependant on the input from stakeholders outside the internal governance structure (see Chapter Four, 27 and Table 33). This indicates a degree of openness in that it embraces input from wider stakeholders and the realisation that more encompassing partnerships are required for site management. This openness for help resonated with the 'humility' of some of the managers within these cases – an antecedent which Van Dierendonck (2011) perceives to be important in the creation of stewardship behaviours. For instance, it is suggested that managers/leaders that demonstrate acts of humility are more likely to be servants (Caldwell & Karri, 2005; Van Dierendonck, 2011), and so develop feelings of custodianship among followers.

#### **5.1.4 Trust and long-term relationships**

Developing trust is crucial across all cases and in nurturing custodianship (Caldwell & Karri, 2005; Lee & O'Neill, 2003). All cases indicate this and emphasise reciprocity and transparency. The steering and forums/working groups offer the basis for this. Interactions within these groups, a team-working ethos, open communication and involvement are useful in creating trust (Davis et al., 1997). Research suggests that the situation an individual finds themselves in has the ability to develop trust, a precedent for stimulating custodianship (Cuevas-Rodríguez et al., 2012; Fox & Hamilton, 1994). For example, Segal and Lehrer (2012) emphasise how trust is created through involvement and the practice of recurring meetings of managers to consider their communal duty.

For custodianship to be nurtured, the development of long-term relationships is essential. The cases encourage such unions through the fostering of continual communication and the development of partnerships which span over time. Examples across the cases include stakeholders being signed up to the strategic plans, and the constant collaboration within working groups/panels and in projects. The value of developing long-term relationships corresponds with stewardship theory's link to the notion of a collectivist culture (Segal & Lehrer, 2012). For example, Davis et al. (1997) imply that stewardship is more likely to transpire in collectivist cultures where long-term relationships, trust and group orientation is favoured. Table 39 highlights the main themes of the internal environment of the sites, and the potency of their significance.

<b>Themes</b>	<b>Edinburgh Old and New Towns</b>	<b>Derwent Valley Mills</b>	<b>Antonine Wall</b>
The Internal Environment			
Involvement	Encompassing those whose interests who can impact the OUV of the WHS is crucial	Participation from a wide range of site stakeholders in key	Immersion of the site's key stakeholders is important
Open communication	Communication is open and aims to promote the open expression of opinions	The governance structure creates an environment where groups can openly express their voice	The governance approach offers an environment where interests can communicate openly
Long-term Relationships	The management structure aims to foster longstanding relationships	Enduring relationships are promoted	The management structure intends to aspire long-term relations
Team-working	Collaboration between those within the management structure is promoted and vital	Creating an environment of heightened team-working is endorsed and significant	Collaborative project working is encouraged and regarded as important
Trust	Trust is important. The internal environment aims to build trust between stakeholders	Trust is important is aimed to fashioned through the management structure in place	The site's management approach aims to be built on trust.

**Table 39: Themes of the internal management environment**

As Table 39 highlights, involvement, open communication, the preference for long-term relationships and team-working, and the development of a culture based on trust are principle factors which form each site's internal managerial environment. Such environments exhibit some of the factors which facilitate the development of custodianship behaviours (Caldwell et al., 2010). The following section will explore the

influence of this environment and the extent to which custodianship behaviours have been able to be developed.

### **5.1.5 Influence of the internal managerial environment**

Built upon involvement, collaboration, open communication, long-term relationships and trust, the cases demonstrate the managerial environments that are built upon some of the fundamental antecedents for creating custodians (Van den Berghe & Levrau, 2004). From this environment, the cases identify that individuals develop intrinsic motivations, an other-regarding perspective, long-term orientation, and affective feelings of association. Furthermore, from this, heightened levels of commitment and identification are developed, leading to the embracement of custodianship behaviours. The following sections will explore these themes further. A collection of quotes exhibiting evidence supporting these sections is displayed in Appendix 3.

#### **5.1.5.1 Intrinsic motivations**

Intrinsic motivations are a central psychological underpinning to stewardship theory (Davis et al., 1997). Individuals who are intrinsically motivated are more likely to display stewardship behaviours (Van den Berghe & Levrau, 2004), and so act as custodians of heritage. Such motivations include opportunities for growth, achievement, affiliation, and self-actualisation (Bammens et al., 2011). Therefore, organisations should provide opportunities from which such motivations can be realised (Frankforter et al., 2000). Across the cases there is evidence of such intrinsic connotations within managers (see Appendix 3). For example, there were instances in each site where respondents commented on the enjoyment and satisfying nature of their involvement, resulting in a desire to commit more time to it. Such desire is highlighted to be derived from the ‘enjoyable’ (Derwent), ‘pleasurable’ (Edinburgh and Derwent) or ‘(personally) rewarding’ (Edinburgh and Antonine) feelings of managers (see sections 4.1.2.5, 4.2.2.5 and 4.3.2.5). Such reasons can be associated with the intrinsic motivations such as growth, achievement and self-actualisation (Davis et al., 1997). Also, an intrinsically motivated individual will undertake a task for no evident reward except for the activity itself (Van Puyvelde et al., 2012), something demonstrated in the cases where managers have given up time.

The managerial environments of the WHSs are important in generating such intrinsic motivations. Across the sites, involvement and collaborative partnership working has

highlighted instances where individuals are not only participating in WHS management, but they are also accomplishing tasks (events/restoration projects/creating joint documentation) which have outcomes benefiting the site and its stakeholders. Additionally, supported by open communication, the importance of World Heritage and what it constitutes becomes more apparent through the interactions within the management environment, making interests more aware of the significance of their role. For example, across the sites the issue of World Heritage and the significance of what they are undertaking are seen as making a difference. This corresponds with the assumption that organisations need to offer individuals drivers through which they have the prospect of realising such needs (Hernandez, 2008; Tosi et al., 2003). Theorists suggest that avenues from which to develop these psychological states include: task importance, autonomy, job variation, and challenging roles (Frankforter et al., 2000; Hernandez, 2012). The environments created within the WHSs of this study highlight the embracement of such avenues, leading to intrinsic motivations to act as custodians.

#### **5.1.5.2 Other-regarding perspective**

Across the cases, individuals have become more open and appreciative of others' views and needs (see Appendix 3). This is essential in enhancing collective thinking. In other words, individuals have developed an other-regarding perspective – a cognitive process of considering multiple stakeholder perspectives within decision-making (Hernandez, 2012). All cases indicate that through collaborative mechanisms, there has been a heightened understanding of others' views and concerns. Through understanding these perspectives greater consideration is given to each other's outlooks in decision-making. This has meant that people have become more accepting of approaches which benefit the site and the collective – i.e. displaying custodianship behaviours. For example; in the Derwent case, the Cromford Mills' immersion of other sites into their WHS Gateway plans, in Edinburgh where councillors are now contacting members of the EWH regarding decisions that may affect the WHS, and at the AW where friction has been eased through an approach where discussions are more open, honest and balanced.

Such decision-making resonates with the belief that custodians make decisions that benefit the collective and the organisation as a whole (Crilly et al., 2008; Davis et al., 1997). Such examples also demonstrate how the situational/structural factors of the managerial environment have generated relationship-centred collaboration – a precursor for developing an other-regarding perspective in individuals (Haskins, Liedtka, &

Rosenblum, 1998; Hernandez, 2012). Central to relationship-centred collaboration is the assumption that environments where there is opportunities to contribute to decision-making, open communication and an investment in collaboration are embraced, establishing “an infrastructure for working together that transcends specific teams and specific projects” (Haskins et al., 1998, p. 35). Each site’s governance framework highlights significant attempts to allow for decision-making and project working to be characterised by multiple involvement, implying a form of united leadership.

Additionally, open forms of communication between diverging interests allow for interactions to be open and amicable, while the significance of World Heritage is projected through various publications. Such environments fashion not only heightened awareness of what fellow personnel are doing, but also who those people are and their importance within the collective (Segal & Lehrer, 2012). Also, such processes have the ability to facilitate the shared understanding of the communal principles and objectives of the group (Brunetto & Farr-Wharton, 2004). Through such processes an individual’s prosocial identity can be initiated and is therefore more concerned with helping and empathising with others (Hernandez, 2012).

The intrinsic motivations of managers also have the capacity to activate cognitive processes that shape an other-regarding perspective. For example, an individual’s cognitive understanding of their employment is significant in verifying how they characterise their obligations as well as how they plan and undertake their responsibilities (Davis et al., 1997; Tosi et al., 2003). As mentioned previously, managers across the WHSs used the terms ‘enjoyable’ and ‘fulfilling’ to describe their work within the context (see sections 4.1.2.5, 4.2.2.5 and 4.3.2.5). Furthermore, phrases such as “you’re making a difference for future generations” were used to describe their role or obligation (see sections 4.2.2.5). This highlights that some respondents see their role as socially valuable or as a “calling” (Haskins et al., 1998). Such forms of work are seen as a reward in itself and are often associated with an other-regarding perspective as it often links to the need to serve others (Corbetta & Salvato, 2004). Indeed, the protection of World Heritage for future generations is displayed to be socially valuable to some managers, perhaps seeing it as a ‘calling’.

#### **5.1.5.3 Long-term orientation**

Long-term orientation, once triggered in decision-making, can ensue custodianship behaviours (Crilly et al., 2008). Both structural and rewarding (or intrinsically motivating) factors have the ability to generate decision-making which eschews short-term remunerations in favour of preparation for the future (Boivie et al., 2011). Across the cases it is inferred that people have acquired a more long-term perspective, facilitated through project working and the relationships developed (see Appendix 3). Also associated with levels of enhanced dedication to the site, examples include: the pledge from local authorities at the AW to continue to invest resources even when they may have to input more than others, and the confession among respondents in Edinburgh and the Derwent Valley that they remain obligated to the site even if judgements don't go in their favour. This long-term rationale and acceptance of groups to surrender their own interests in favour of sustaining collective action also demonstrates trust between organisations. This has been reinforced by the development of levels of intrinsic motivations in individuals, resulting in them surrendering self-interest for more collective behaviours (Bammens et al., 2011).

What the sites demonstrate is that the situational/structural environment that an individual finds themselves in has the ability to foster collective responsibility and awareness of multiple stakeholder perspectives (Aguilera et al., 2007). The dedication to the long-term prosperity of the sites is also a testament to the World Heritage cause being reinforced through communicative mechanisms. Elements of a high commitment management culture which have been developed within the WHSs have allowed for differing interests to undertake repeated social exchanges (Hernandez, 2008). These recurrent exchanges are fundamental in developing a long-term orientation through fostering collective responsibility and awareness of multiple perspectives (Crilly et al., 2008; Hernandez, 2012). Such exchanges are essential across the findings and are important in developing custodianship behaviours.

#### **5.1.5.4 Affective association**

According to Hernandez (2012, p. 181) the “affective mechanisms of stewardship behaviours are derived from an individual's attitude towards others”. Affective association leads to custodianship behaviours through the individual's emotional connection with the organisation, facilitating their propensity to protect it and to sacrifice on its behalf (Coule, 2015; Vilaseca, 2002).

The development of personal, or affective, relationships within each site is evident (see Appendix 3), with words such as ‘friends’ (see Chapter 4, section 4.1.2.5) and ‘companions’ (see Chapter 4, section 4.2.2.5) used to describe their fellow representatives. Such emotive relationships are a product of the continual interactions and the team-working which occurs throughout the sites. For example, Edinburgh highlights that continual collaboration between EWH and ECC has constructed personal relationships between representatives. This is also emphasised in the Antonine and Derwent cases where their management structures promote the growth in such feelings, contributing to the development of custodianship behaviours among managers. For example, Edinburgh implies that this has intensified trust and that it encourages people to work towards similar objectives – in this instance, the sustainability of the WHS. Likewise, the Derwent case also associates the creations of personal relationships to elevated levels of trust between people, leading to decisions being made which benefit the collective rather than individual interests.

In Hernandez’s (2012) work on stewardship, affective feelings or an individual’s emotional attachment to the organisation is constructed not simply through mutual social exchanges, but through the reward systems which focus on employee personal growth and development. Across the cases the affective association is highlighted through the mutual social exchanges (Crilly et al., 2008). As emphasised earlier, the development of intrinsically related motivations were demonstrated by a number of respondents through the feelings of pleasure and enjoyment in being part of the environment. As studies suggest, organisations that provide structures which facilitate environments which foster employee emotional connection and acknowledgment of multiple views can lead to individuals displaying devotion and a sense of obligation (Caldwell et al., 2010; Hernandez, 2012), or custodianship behaviours.

#### **5.1.5.5 Identification and commitment**

Individuals who have high levels of identification with their organisation are more likely to become stewards (Wasserman, 2006). All three sites express that there has been an increased level of identification with the purpose of the group and to World Heritage, leading to acts of custodianship (see Appendix 3). Especially throughout the Edinburgh and Derwent cases, the management environment has acted as a stimulant to this. This has resulted in managers working towards the ‘bigger picture’, while World Heritage awareness has been heightened. For example, in Edinburgh this is evident



through the changing mentality of ECC and its support for restoration projects and World Heritage. However, the intensity of this awareness differs across cases, with the AW highlighting less. This difficulty resides in the lack of tangibility of the WHS and the lack of awareness of what World Heritage pertains (see sections 4.3.4.3 and 4.3.4.4). Respondents also mention how success and opinions about World Heritage are psychologically influential. For example, one Derwent manager commented on the upsetting nature of comments of “that bloody World Heritage stuff again”; while, successes are celebrated as a group (see section 4.2.2.5). Such feelings correspond with the suggestion that when individuals identify with an organisation, group or cause, the target becomes an extension of their psychological structure and that they translate observations about it as referring to themselves (Snape & Redman, 2003; Wasserman, 2006). As highlighted in the example above, the respondent takes both good and negative comments/outcomes about the World Heritage as a group success or hurtful (Davis et al., 1997).

Closely related to identification, individuals high in value commitment (Mayer & Schoorman, 1992) or affective commitment (Meyer & Allen, 1991; Vallejo, 2009) are more likely to become stewards. This is associated with a belief in and acceptance of the organisation’s values and objectives and a readiness to exercise significant excursion on its behalf (Mayer & Schoorman, 1992), and behaviours that are beneficial to the organisation irrespective of whether or not they are an assumed function of their role. This value commitment is also associated with affective feelings of association mentioned earlier in the discussion. Indeed, further work on organisational commitment relates value commitment is strongly connected with affective commitment – an emotional connection, identification and involvement in the organisation (Meyer & Allen, 1991; Snape & Redman, 2003). In order to fashion such commitment, theorists, from a stewardship perspective, indicate that situational environment and structural factors promoted by stewardship theory have the ability to foster such mental states (Davis et al., 1997).

All cases report that levels of commitment to the management of the WHS have been amplified through the exchanges within their management structures (see Appendix 3). Research on WHS management support such notions, highlighting that increased involvement and dialogue can elevate site dedication (Lask & Herold, 2004; Xu & Dai, 2012). These interactions have resulted in relationships being built between different

representatives. This commitment is emphasised through the dedication by managers from differing organisations at the AW joint developing strategic documentation and contributing funds to the new website; and in the Derwent case the continuing member support through funds and continual project working. At Edinburgh commitment has also been established in organisations which once were sceptical about the potential of World Heritage – for example, ETAG now playing an active role in issues relating to World Heritage (creating the Business Toolkit).

Furthermore, due to high levels of involvement in decision-making and open communication, commitment has increased through the surrendering of self-interest in favour of more collective paths. Across the cases, this has resulted in an atmosphere where decisions are accepted even when they do not fully advantage the participating interest(s), emphasising custodianship tendencies. For example, the Derwent case highlights managers' views on their inclination to embrace situations which benefit the group and the WHS instead of their own personal agendas. This is echoed at Edinburgh and the AW where individuals commented on looking beyond their own aims for the betterment of the site (see sections 4.1.2.5 and 4.3.2.5). This surrendering of self-interest in favour of collectivist behaviours is regarded as typical of custodian managers (Ghosh & Harjoto, 2011; Segal & Lehrer, 2012). Furthermore, such an involvement orientated environment is seen as an important contributor to creating such high levels of value commitment (Loi et al., 2006; Meyer & Allen, 1991).

Although identification and commitment is apparent, it is palpable that this dedication is initially based more on a personal and professional level with fellow individuals and perhaps less with World Heritage. In other words, the commitment to other representatives in the management setting are initially just as, if not more, important that the connection to the organisation – World Heritage. While the communication of issues and values pertaining of World Heritage demonstrate the significance of the group's overall mission, it seems that it is the relationships forged between managers which provide the foundation for commitment. For example, many of the representatives interviewed commented on the relationships and the interactions with one another forming the basis for surrendering self-interest for custodianship behaviours. In the context of this study, this connection between people as a basis for commitment rather than the organisation is more digestible. As the cases highlight, WHSs are managed by distinctive, and typically ad-hoc, organisational structures, and

function on the reliance of individuals/groups coming together in goodwill (Landorf, 2009; Wager, 1995). Therefore, the potency of the resultant personal relationships between those who have come together to manage such sites is significant to ensure continual commitment among interests where World Heritage may only be a fragment of their responsibilities within their own establishment. As a result, the identification and commitment towards World Heritage are products of the personal relationships which keep different groups intertwined, with World Heritage becoming more influential as interactions and activities develop and are accomplished.

#### **5.1.6 Custodianship behaviours: The internal environment**

Each case exemplifies that custodianship behaviours have become more apparent within their management structures. The structures, which promote involvement, collaboration and open communication, have offered a foundation for individuals to embrace intrinsic motivations, develop an other-regarding perspective and long-term orientation, and levels of affective association with other representatives and World Heritage. As such, individuals develop heightened levels of identification and commitment to the group and what it is they are attempting to achieve – protecting World Heritage. Appendix 4 highlights some supporting quotes which highlights examples of such custodianship behaviours.

As Appendix 4 highlights, custodianship behaviours are displayed through the collective actions and beliefs of individuals even if it does not fully benefit their cause, displaying pro-site decision-making and heightened identification and commitment. Due to the managerial set-up of these WHSs, the development of such behaviours has been imperative for the site management. Individuals who associate themselves with and embrace the organisation and its objectives, and are committed to making it succeed, are typical of custodians (Kiel & Nicholson, 2003). Furthermore, people who perceive collectivist behaviours to have higher utility than self-serving actions, even at a personal sacrifice, display custodianship behaviours (Davis et al., 1997; Ghosh & Harjoto, 2011). Evidence in Appendix 4 highlights such custodianship behaviours in managers across the sites, with quotes highlighting the collectivist and sacrificial nature of decision-making.

Given the option between self-serving and pro-organisational behaviours, a custodian will not deviate from the welfare of their organisation (Eddleston & Kellermanns, 2007;

Wasserman, 2006). The context of this study highlights the uncommon environment where management is undertaken by a structure containing numerous differing interests (Hampton, 2005; Shetawy & El Khateeb, 2009; Wall & Black, 2004), many of which World Heritage is only a small part of their remit. Therefore, many of the individuals involved are managers/employees/representatives of bodies which are of differing interests. As a result, they are agents of both their own employer and the World Heritage management structure. For these individuals to embrace collectivist behaviours, some of which at the detriment to their own establishment, not only highlights the development of strong relationships between people within the environment, but demonstrates the continuing commitment to the protection and effective management concerning World Heritage issues. Therefore, the situational and structural underpinnings of the internal management environment of each WHS demonstrate levels of success at creating custodianship behaviours among contesting interests.

## **5.2 The External Environment**

Within WHS management the recognition of wider stakeholders is vital (Hampton, 2005; Nicholas et al., 2009), with one of UNESCO's World Heritage missions being to encourage local community participation in the preservation of their cultural and natural heritage (UNESCO, 2014c). Current studies stress the complexity of this issue due to the influence such interests can have over site management (Aas et al., 2005; Xu & Dai, 2012). Across the WHSs in this study, the value of stakeholders, who are external to the members of the governance structures, are integral to management. This includes groups such as local communities, businesses, and differing public/private and charitable bodies.

Crucially, while many of these stakeholders are not official members of the internal management structure, many own assets and function within the WHS. Therefore, their presence makes them important proprietors and interests within the WHS context. Therefore, the cooperation, involvement and sense of ownership of these interests are advantageous. However, the need to engage with, manage and balance multiple stakeholder interests is difficult for any organisation (Lamin & Zaheer, 2012; Reynolds et al., 2006). WHS management relies on the collective responsibility of those owners and stakeholders who are involved and not involved in the site's administration (Millar,

2006; UNESCO, 2015c). As such, generating custodianship behaviours within these interests is favourable. The starting point for creating custodians among these wider stakeholders' is engagement strategies to capture their awareness, involvement and patronage (Husted, 1998; Wicks & Harrison, 2013) – something all three sites have embraced. These will be discussed in the following sections, followed by an exploration of their potency in developing custodianship behaviours.

### **5.2.1 Representation**

Representation is significant in immersing stakeholder interests into organisational decision-making (Luoma & Goodstein, 1999; Moriarty, 2012), as it gives them a voice in decision-making and the management of their WHS (Evans, 2002). All cases identify that the consultation process for site documentation offers this representation (see sections 4.1.3.1, 4.2.3.1 and 4.3.3.1). Across the sites, this has encouraged the development of relationships and has empowered stakeholders to decide what is important to them. Studies suggest that collaborative mechanisms which facilitate dialogue between managers and stakeholders is essential (van der Aa et al., 2004; Xu & Dai, 2012), allowing for decision-making to be undertaken through process of negotiation and compromise - stimulating a more congruent environment (Nicholas et al., 2009).

Despite this, concerns over consultation are raised. For example, there is still a lack of local community ownership over the AW's strategic plans, while in Edinburgh confidence and trust have been lost due to local concerns being overlooked during consultation. Such concerns resonate with the belief that if stakeholders have a lack of confidence that their concerns are considered, they will likely avoid engagement and offer limited support (Aref, 2011; Tosun, 2006). In the Edinburgh case this is unsurprising considering the admission of one manager that in the past the results of some consultation processes were overlooked. Such apprehension corresponds with the view that clientelism can deter stakeholder participation (Yuksel & Yuksel, 2008). For example, stakeholders will not offer support or doubt the actions of public bodies if they perceive them to be unreliable (Erdogan & Tosun, 2009; Yuksel & Yuksel, 2008), therefore possibly restricting their development of custodianship behaviours.

Such challenges could be inherent in the lack of wider stakeholder representation in the internal managerial environment of both the Antonine and Edinburgh cases, both highlighting exclusivity. Studies argue that for heritage sites to be managed effectively, effort should be applied to ensure that all stakeholders are involved within decision-making and planning (Harrison & Hitchcock, 2005; Yuksel et al., 1999). For example, Landorf (2009) argues that a lack of grass roots involvement in WHS management, beyond the draft stages of a management plan, is a lost opportunity. However surprisingly, a number of the AW managers were against this, suggesting that wider stakeholder membership was not required due to their lack of perceived responsibility. This demonstrates a potential difficulty due to the indication that managerial environments where heritage is planned and discussed by an influential few (such as government officials) can result in lack of community support for World Heritage status (Harrison, 2004b).

Derwent has tackled representation effectively creating cluster groups of local people, businesses and interest groups (see section 4.2.3.1). Clusters allow stakeholders to develop ideas and have a voice in the decision-making - for example, the creation of the 'Ambassador Scheme'. Other studies demonstrate that the immersion of stakeholders can result in a more successful approach to site management (da Cruz Vareiro et al., 2012; Jaafar et al., 2015). Informal groups have permitted heightened representation of multiple interests outside the internal environment and acted as a zone where managers and interests can come together to discuss concerns freely (Lask & Herold, 2004).

### **5.2.2 Raising awareness and reputation management**

Organisations should undertake effort to employ strategies to gain stakeholder awareness and support (Carter, 2006; Puncheva, 2008). These are significant in generating fruitful endeavours – whether it be financial or elevated patronage (Snider et al., 2003). Within WHS management, the need to communicate the importance of the site to wider stakeholders is essential (Li & Lo, 2004; UNESCO, 2014c). The cases highlight that this is crucial in stimulating support and collective responsibility. Table 40 highlights a review of these approaches and some implied impacts.

Site	Raising Awareness	Example Impact
Antonine	<ul style="list-style-type: none"> <li>• Site website</li> <li>• Latest news feeds</li> <li>• Branded signage</li> <li>• Events</li> <li>• Walking and cycling trails leaflets</li> <li>• Publications</li> </ul>	“We did a walk along the Wall, there wasn’t very much to see, but when we explained the history people were gripped and it made them think ‘well, actually, that’s in our neighbourhood and it’s a bit of history’ ... next time we had about 40 – 50 people come along”.
Derwent	<ul style="list-style-type: none"> <li>• Site website</li> <li>• Latest news feeds</li> <li>• Social media</li> <li>• Branded signage</li> <li>• Community projects</li> <li>• Events and festivals</li> <li>• Publications and newsletters</li> </ul>	“It shows everyone what we are doing and that they should be proud of their place ... it gives confidence to the Partnership and shows the power of teamwork ... many volunteers I have spoken to have said that’s why they have become involved”.
Edinburgh	<ul style="list-style-type: none"> <li>• Site website</li> <li>• Latest news feeds</li> <li>• Social media</li> <li>• Friends group</li> <li>• Community projects</li> <li>• Events</li> <li>• Publications and newsletters</li> </ul>	“If you show people that we care for these buildings, that creates support itself ... if the trust lasts then so does their propensity to act in a conservational and responsible way”.

**Table 40: Cross-site strategies for raising awareness and impact**

As Table 40 emphasises, these strategies are valuable in harvesting stakeholder interest. Impression management activities are important in developing understanding and support of the organisations’ actions and purpose (Carter, 2006; Rowley, 1997). The use of publications, newsletters and news feeds through websites and social media are important tools for raising site awareness and for projecting reputable activities; while branded signage acts as a reminder of World Heritage status. These are essential for organisations in publicising and reinforcing their mission and values, and generating reliable reputations which help reinforce their actions (Gardberg & Newbury, 2013; Weber & Marley, 2012).

Edinburgh also identified the importance of raising awareness beyond the boundaries of the WHS. This approach is supported by previous research which suggests that locals outside the boundaries of WHSs, at times, develop levels of antipathy as they feel discounted or overlooked (Evans, 2004; Jimura, 2011), leading to a decline in local community support. Additionally, such awareness is deemed essential as without stakeholder consent/support protection and projects have limited potency. Therefore, by keeping stakeholders informed, managers are allowing for levels of communication

which augments and reinforces the magnitude of World Heritage and their role (Nicholas et al., 2009).

#### **5.2.2.1 Education**

Education is imperative in WHS management (Biran et al., 2011; Hume, 2004), however research typically focuses on the visitor perspective rather than on the wider stakeholder network (Beeho & Prentice, 1997; Willis, 2009). The cases indicate that education is instrumental in ensuring that World Heritage issues are entrenched within decision-making and that people are more conservational aware (see Chapter 4, sections 4.1.3.3, 4.2.3.3 and 4.3.3.3). For example, the Antonine case implies that education is the key to building relationships with private landowners. The use of such educational mechanisms has allowed the sites to project the significance of their historical environments, in other words, reinforcing their organisational mission to protect the WHS (Jaafar et al., 2015; Landorf, 2009).

The cases also recognise the necessity to focus on younger generations, highlighted through their events and their production of educational materials (see Chapter 4, sections 4.1.3.3, 4.2.3.3 and 4.3.3.3). Given that actions of managers have the ability to influence future leaders (Caldwell et al., 2008; Caldwell & Karri, 2005), strategies which heightened the awareness and appreciation of younger generations seems essential. In Edinburgh, this focus goes beyond that of simple learning about heritage to tackle wider issues. For example, World Heritage is seen as a tool or doer rather than something self-serving, suggesting that it can help tackle social inclusion and literacy. Their projects, such as heritage detectives, demonstrate innovation of using the WHS for such issues. While literature does argue that heritage should be used as an educational tool (Porto, Leanza, & Cascone, 2011; Prentice et al., 1998), there is severely limited research on the (possible) use of World Heritage for wider social issues as is apparent within Edinburgh's case.

Despite the importance of education, the focus on the World Heritage element is limited and underdeveloped. For example, Edinburgh argues that too much is focused on the local level heritage rather than World Heritage, something which is not aided by the city's proliferation of misinformation. The AW unearths a differing challenge based on the inconsistency of educational provision across the site, leading to calls for a more



communal approach. Such apprehension is implied by other studies which suggest that there is a need for increased World Heritage education as many site stakeholders fail to comprehend the significance of their cultural environment (Jimura, 2011; Williams, 2004).

### **5.2.3 Support**

Support as a means of stakeholder engagement is important (Brammer & Millington, 2004; Deephouse, 2000). To engage with stakeholders the cases highlight the use of support (see Chapter 4, sections 4.1.3.4, 4.2.3.4 and 4.3.3.4), although this varies between sites with Edinburgh and Derwent offering more. For example, Edinburgh's funding programmes provide finances for restorations and community based projects, facilitating collaborative networks. These projects also support the preservation of traditional skills, employment opportunities, and work experience, while realising benefits beyond heritage such as reducing vandalism and crime. Similarly, Derwent highlights support through business assistance, training, and funding for the restorations. Funding support is a fruitful avenue from which to gain stakeholder involvement as it displays a commitment and a moral position from site managers to stakeholder concerns (Haley, 1991; Wang & Qian, 2011).

This finding also offers a comparison with research in relation to building owners within the WHS context (Davis & Weiler, 1992; Gillespie, 2009). For example, Xu and Dai (2012) discovered that locals and managers were in conflict at the World Heritage village of Xidi as residents could not afford the restoration and maintenance costs to their properties. Edinburgh provides evidence that managerial support for such problems can help overcome conflict and the difficulties of decaying historical assets. Such support also stresses the importance of projecting the possible economic and social benefits of WHS status (UNESCO, 2014a). Indeed, Hampton (2005) argues that WHS stakeholder support can be elevated through highlighting the benefits of listing and the provision of business advice and financial aid. This is reinforced by others who indicate the need for the benefits of World Heritage to be promoted and understood in an attempt to garner local patronage (Jimura, 2011; Zou et al., 2012).

Edinburgh also highlights support for ventures which are community led. For example, the graveyards projects, which promotes engagement beyond single points of

involvement to include something more enduring. Such projects underline the value of mechanisms which allow for relationships to be built with influential stakeholders (Heugens et al., 2002; Ramchander et al., 2012), while at the same time offering them a prominent role in the management and decision-making (Husted, 1998; Zattoni, 2011). Support is also offered to stakeholders through the openness of EWH, which is perceived by many as a community organisation. The ability for stakeholders to simply walk into the EWH offices and speak to staff highlights open communication where people can directly interact and voice their concerns and ideas (Butterfield et al., 2004).

The AW offers limited levels of support. While there has been assistance for local projects and events, this is sparse and lacking. For example, many actions throughout the WHS are more community led, leading to apprehension towards HS and local authorities. Such apprehension is underlined by similar research which suggests that a limited support from managers can lead to mistrust and a lack of faith in their abilities (O'Connell et al., 2005; Rowley & Berman, 2000). Additionally, despite recent moves to engage businesses, there has been limited attention given to the interests of local enterprises. This could be the reason why wider stakeholder awareness and involvement is mainly characterised by those that have always had an interest in the Wall. For example, support for management can be limited if stakeholders do not comprehend how they themselves benefit from involvement (Aref, 2011; van der Aa et al., 2004).

#### **5.2.4 Influence of the managerial environment**

The preceding sections exhibit how engagement strategies are the starting point in paving the way for nurturing custodians of heritages among wider stakeholders. However, as argued by Johnson (2011), the development of such behaviours outside the inside working of an organisation is difficult. This is because stewardship theory is an internally focused perspective, concentrating on developing responsible and collectivist managers within an organisation (Davis et al., 1997), not developing such stewards among external interests. Instead, this perspective argues that steward managers protect the prosperity of those external stakeholders through collectivist actions which ensure the successful functioning of the organisation (Ghosh & Harjoto, 2011; Tosi et al., 2003) – in other words, the majority of stakeholder interests will be appeased through the functioning of a successful organisation (Anderson et al., 2007).

However, while the successful functioning of a WHS is desirable, the myriad of interests outside the internal management structure, each with differing roles and ownership responsibilities, means that what is deemed as successful functioning differs between stakeholders (Millar, 2006). Therefore, managers must attempt to include, generate awareness, and immerse these multiple views into the WHS environment to ensure that their needs are understood and lay the foundations to develop custodians among them. The following sections will discuss the influence of the stakeholder engagement strategies employed across the case sites and their potency in developing custodians. A collection of quotes exhibiting evidence supporting these sections is displayed in Appendix 5. It must be noted the development of custodianship behaviours among external stakeholders is taken from the perspective of the managers who are inherent within the case sites internal management structure.

#### **5.2.4.1 Other-regarding perspective and Long-Term Orientation**

Through engagement, case managers have been able to develop a sense of other-regarding perspective and long-term orientation in external stakeholders (see sections 4.1.3.5, 4.2.3.5 and 4.3.3.5) (Davis et al., 1997; Hernandez, 2012). As mentioned in the discussion on the internal environment, an other-regarding perspective refers to the cognitive process of considering multiple perspectives within decision-making; while a long-term orientation refers to making decisions which focus on the future, even if it means delaying short-term or self-interested success (Hernandez, 2012) - both are important in developing custodians. Both Edinburgh and Derwent exhibit that external stakeholders have become more open to and appreciative of others views and needs (see Appendix 5). For example, due to the magnitude and multiple-occupancy of private buildings in Edinburgh, challenges occur due to restoration projects being impeded through the motives of specific individuals. However, EWH's reputation and development of trust has meant people have become more open minded to the wider collective cause. Other-regarding perspective is also highlighted in the Derwent case as people are now taking more notice of what is happening across the site rather than in their own area, and are giving up their free time and resources, even if it is detrimental to them, for the benefit of the WHS.

Having long-term orientation is important in creating custodianship behaviours (Le Breton-Miller & Miller, 2006; Lee & O'Neill, 2003). While the Antonine case failed to unearth evidence of this, the Edinburgh and Derwent cases do (see Appendix 5). For

example, Edinburgh highlights that, through various projects, stakeholders have been aspired to think more conservational in the long-term. Support and project working has also motivated people to work more long-term through improving once tenuous relationships – for example, the Granny's Green Project and the relationship between the local community and ECC. Such reasoning is also demonstrated in the Derwent case where businesses are coming back and contacting the WHS team, offering help after the Belper Ambassador Scheme had ended. Furthermore, the resolution on home owners to do their own independent research and use their own dwellings for heritage activities also suggests that people are not only interested in their WHS, but also want others to learn what their surroundings have to offer.

Previous research suggests that for stakeholders to have thoughtfulness and respect towards an organisation or historical area, they must have the ability to have an active role in their administration (Butterfield et al., 2004; Garrod et al., 2011; Jaafar et al., 2015). The strategies used by the sites have offered a starting point in capturing engagement with such interests. The immersion of stakeholders into the managerial environment and actively participating in site activities has witnessed the development of custodianship behaviours. As the Edinburgh and Derwent cases imply, managers feel that external stakeholders are displaying actions and decision-making which not only takes into account other interests, but also takes into account the long-term prosperity of their WHS.

By stakeholders having a more participatory role in WHS management, elements which have influenced the behaviours of the internal managers becomes apparent. While external stakeholders may not be official members of the WHS management structure, by giving them a voice, responsibility, and an active role, elements such as collaboration, open communication and empowerment become significant in developing custodianship behaviours among them (Davis et al., 1997; Walters et al., 2015). Therefore, the situational/structural factors which are seen to foster the development of custodianship behaviours of managers within the internal environment become interwoven among external stakeholders as they develop relationships with internal managers and have an active role within the site.

#### **5.2.4.2 Affective association**

As the discussion on the internal environment highlighted, affective association between managers within the administrative structure was a contributing element in fostering custodianship behaviours. Engagement strategies have nurtured affective feelings of association between external stakeholders and managers (see Appendix 5) (Brickson, 2005, 2007; Hernandez, 2012). Edinburgh managers imply that positive emotive relationships between themselves and wider stakeholders have been fostered (see section 4.1.3.5). For example, friendly relationships have been developed through the interactions within project working and the openness of the EWH, developing an environment where people from different interests are willing to work together. Such positive feelings are also indicated within the Derwent case where managers imply that schemes, such as the World Heritage volunteer project, have created platforms where people have come together and created friendships (see section 4.2.3.5). Such feelings are seen as stimulants to volunteering and continual support for the WHS. Both Edinburgh and Derwent also highlight how these relationships are reinforced through efforts made to have continual contact with and between stakeholders. For example, this is exhibited through Edinburgh's events for groups they have previously worked with, and the congregating on interests for lunch or catch-ups in the Derwent case.

The affective associations between managers and stakeholders highlights a levels of relationship building which is essential in developing successful stakeholder engagement (Heugens et al., 2002; Wicks & Harrison, 2013). Studies indicate how creating reputable links and bestowing stakeholders with utility and the opportunity to contribute to the organisation and its mission can improve and enhance relationships with external stakeholders (Kelly, 2001; Ramchander et al., 2012). The affective relationships between managers and stakeholders in the Edinburgh and Derwent cases also demonstrates how custodianship behaviours can be developed through going beyond simply involvement, to promoting and immersing stakeholders into the management environment; in other words, through empowering stakeholders through giving them a participatory role and being open to their concerns. For example, the Edinburgh case highlights projects, such as the Graveyards venture, which allows for local community led developments rather than being controlled by an administrative body. This approach is supported by the argument that for meaningful stakeholder engagement to ensue, strategies should go beyond an informative approach to a more participatory role (Garrod et al., 2011; Xu & Dai, 2012).

#### **5.2.4.3 Trust**

The findings reveal that through engagement, trust has been fashioned (see sections 4.1.3.5 and 4.2.3.5). For example, EWH has created trusting relationships with local communities, building owners and businesses. Generating this trust is seen as instrumental in creating the conservational-minded individuals (Caldwell et al., 2008; Davis et al., 1997) or custodians. The need for managers to treat interests with fairness in decision-making has been demonstrated to be an important element of stakeholder thinking (Greenwood & Van Buren III, 2010; Hayibor & Collins, 2015), with the indication that acting dishonourably can diminish the opportunity to develop collective behaviours and trust (Schrempf-Stirling et al., 2013). This outlook is emphasised in the Edinburgh and Derwent cases where managers indicated that by working with stakeholders this has inspired the development of an environment of trust, as stewardship theory suggests creating an environment of trust is pivotal in developing individuals who are collectively minded (Caldwell et al., 2010; Walters et al., 2015). This environment is also reinforced through the distribution of WHS and site management information through publications, social media, and through a dedicated website. Such information dissemination is important as studies also highlight how open communication and the exposure, lucidity and accuracy of information available regarding an organisation can enhance its transparency and subsequent trust among stakeholder interests (Pirson & Malhotra, 2011; Schnackenberg & Tomlinson, 2014).

#### **5.2.4.4 Identification and Commitment**

Through engagement, some external stakeholders are believed to have developed an other-regarding perspective, long-term orientation and affective feeling of association towards the group – or in this case, the WHS and its management. From this, stakeholders have come to identify and become committed to the WHS environment resulting in custodianship behaviours (see sections 4.1.3.5 and 4.2.3.5). This will be explored in the following sections.

Identification with World Heritage and the historical significance of an area is a contributing factor in gaining levels of support for a specific area (Evans, 2004; Jimura, 2011). Within the findings, two of the three cases indicated that through engagement strategies some stakeholders have gained such identification (see Appendix 5). For example, Edinburgh implies that through involvement, stakeholders have become more appreciative and identify with the city's historical significance. Similarly, in the

Derwent case, managers talked about stakeholders wanting to 'become part of this big WHS' and feeling like they were 'part of that wider family'. Such identification stresses the value of stakeholder understanding of the mission, objectives and vision of the WHS and its environment, as it acts as a mechanism in embracing custodianship behaviours (Davis et al., 1997; Wasserman, 2006).

The cases report that commitment to the WHS has been enhanced through engagement strategies, although this is more potent in the Edinburgh and Derwent cases (see sections 4.1.3.5 and 4.2.3.5). For example, the EWH stakeholder network has grown continually, with businesses also becoming more receptive to use World Heritage as part of their unique selling point. While this may be seen as stakeholders using World Heritage status for their own means, it is implied that starting off with self-interest is a tactic for EWH with the intention that appreciation of World Heritage comes as a product later on. Similar commitment is implied in the Derwent case through continual voluntary involvement and contributing of time and resources to specific causes. Such devotion highlights high levels of value commitment which is associated with individuals displaying behaviours which are beneficial to the organisation and highlights an acceptance of its values and objectives (Corbetta & Salvato, 2004; Vallejo, 2009).

Heightened levels of stakeholder identification and commitment are a product of the immersion of such interests into the decision-making processes and the promotion of community led/benefiting approaches. Through these, stakeholders have been able to develop working and personal relationships with managers, a necessity to ensure effective stakeholder engagement (Jones, 1995; Wicks & Harrison, 2013). The openness and approachable nature of the EWH and the Derwent WHS team also displays forms of open communication which has reinforced these relationships leading to greater commitment to the WHSs (Caldwell & Karri, 2005; Foster & Jonker, 2005). Again, this highlights the importance of the need for wider stakeholders becoming more active within the managerial environment (Lask & Herold, 2004; Luoma & Goodstein, 1999). In other words, even if unformal members of the administrative structure, through collaboration, communication and relationship building they are able to become more appreciative and aware of others and the significance of the organisations objective. Similarly, studies have suggested that if immersed into the WHS environment

stakeholder commitment can be elevated through feelings of local pride, identity and community spirit (Jimura, 2011; Shackley, 2012).

### 5.2.5 Custodianship behaviours: The external environment

While it may be difficult to develop custodianship behaviours among stakeholders outside the internal environment of an organisational structure (Johnson, 2011), such behaviours towards the WHS management group and the site are apparent. Through managers employing engagement strategies (Brickson, 2005; Heugens et al., 2002), this provides the starting point from which to generate awareness and immerse stakeholders into the WHS environment. The Edinburgh and Derwent cases also highlight forms of on-going engagement both in terms of projects and communication. Such approaches are important as research suggests how individuals are treated by previous decision makers will influence their own future behaviour (Hernandez, 2012). Therefore, continuous reinforcement of World Heritage related issues through going beyond isolated instances of engagement to more long-term and enduring forms of interaction is vital. Such strategies emphasise engagement which allows specific interests to have a more participatory role in site management, allowing for stakeholders to develop an other-regarding perspective, long-term orientation and affective association with managers and World Heritage. As such, the development of heightened levels of identification and commitment to the group and what it is they are attempting to achieve (protecting World Heritage) has become apparent. Through such a process, wider stakeholders have come to display custodianship behaviours. Table 41 highlights such behaviours among these external stakeholders.

Custodianship Behaviours	
Edinburgh	<ul style="list-style-type: none"> <li>• More businesses are engaging with the WHS status and EWH. Witnessed through them using WHS status on their websites and producing WHS visitor materials.</li> <li>• Many stakeholders are now more conservational- minded and appreciate their historical surroundings.</li> <li>• Many projects have required the involvement and permission of multiple building owners. This has required some owners to look beyond their own interests towards the collective.</li> <li>• People are donating money for specific projects.</li> <li>• Local community groups are now working with ECC on various projects despite past tensions.</li> </ul>



Derwent	<ul style="list-style-type: none"> <li>• Stakeholders are continually contacting the WHS Team offering assistance.</li> <li>• There has been a heightened level of scrutiny among local communities of possible developments that may affect the WHS.</li> <li>• Stakeholders are now giving more attention to other parts of the WHS apart from their own sections.</li> <li>• Stakeholders have given up their free time, volunteering and contributing resources to WHS.</li> <li>• Home owners are doing their own independent research and opening up their home for special events.</li> </ul>
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**Table 41: Custodianship behaviours of external stakeholders**

As Table 41 demonstrates, managers believe that custodianship behaviours have been displayed among external stakeholders. These behaviours exhibit actions which are pro-organisational, collective, and show commitment to the WHSs. The environment of trust, relationship building and commitment embraced by the managers of the Edinburgh and Derwent sites is testament to the development of such behaviours. The necessity to generate, and continually reinforce, personal relationships with stakeholders demonstrates the importance of calls within research for a more focused approach to stakeholder engagement where interests are seen as human beings rather than concepts (McVea & Freeman, 2005). In the Edinburgh and Derwent cases the emphasis on personal relationships demonstrates progress towards such thinking, with managers stressing the importance of intimate associations.

However, there is limited confirmation of such behaviours in the Antonine case (see section 4.3.3.5). Despite managers implying that commitment is improving, it is only a concentrated cohort who have always been interested, rather than something which is more widespread. This could be the result of the intensity of the engagement strategies employed by the WHS, made more difficult by its lack of tangibility. For example, while Edinburgh and Derwent employ consistent strategies, the Antonine case reveals a more sporadic approach. Therefore, the lack of methods to raising awareness could be limiting their ability to project the importance of World Heritage and the management group's mission. For example, stakeholders need to understand and be incessantly made conscious of the mission of the organisation and its accomplishments in order to remain supportive (Carter, 2006; Rowley, 1997). Furthermore, a lack of awareness and understanding of World Heritage status is a barrier to stakeholder involvement and support (Jaafar et al., 2015; Jimura, 2011), demonstrating the importance of promoting the work of the WHS and its managerial importance.

Furthermore, the lack of representation and community led projects instigated by managers is a concern. This lack of community involvement could be the cause of the lack of acknowledgment of custodianship behaviours of wider stakeholders (Cuevas-Rodríguez et al., 2012; Davis et al., 1997). Furthermore, some AW managers view that membership of the management group should be limited to only the significant bodies and that wider stakeholders have limited responsibility poses another potential reason. Such beliefs contradict one of the principles of World Heritage – the participation of the local population in the preservation of their cultural and natural heritage (UNESCO, 2015c). Furthermore, previous research suggests that lack of representation in decision-making processes and organisations which embrace more informative participation can lead to isolation and disassociation within stakeholders (Garrod et al., 2011; Xu & Dai, 2012).

Highlighted in the Edinburgh and Derwent cases, more intensive levels of representation and community led projects offer stepping stones for wider stakeholders to develop relationships with managers and become more involved and responsible for elements of the WHSs. Even though these stakeholders may not be formal members of the site's internal management, such approaches are seen as essential to instigate the development of an other-regarding perspective, long-term orientation and affective association (Coule, 2015; Hernandez, 2012) with other representatives and World Heritage. While the AW employ some forms of engagement, the ad-hoc nature is limiting the opportunity for stakeholders to have meaningful interactions with managers and the World Heritage environment (Harrison, 2004a; Millar, 2006). As a result, the development of potential custodianship behaviours among the AW stakeholders is limited due to the lack of opportunities for substantial and meaningful participation and potential relationship building with the site's managerial group.

### **5.3 The World Heritage Site: Key team(s) and individuals**

An important element of developing custodianship behaviours is the 'leading' team or coordinator (see sections 4.1.2.3, 4.2.2.3 and 4.3.2.3). Leaders/managers within an organisation perform a pivotal role in the development of custodianship behaviours among employees (Caldwell et al., 2008; Caldwell et al., 2006). Therefore, leaders/managers who generate trust, embrace principled actions, and display concern

for others instead of self-serving endeavours, can instil fellow employees and future generations with a sense of guardianship (Caldwell et al., 2010; Wade-Benzoni, 2002). Such forms of leadership are highlighted throughout the cases. For example, at the WHSs the role of ‘leaders’ is central in supporting and enhancing the effectiveness of the managerial setting – the AW Coordinator, the Derwent WHS team, and EWH. Each WHS is dependent on there being a driving individual/group as a champion of the management plan, a facilitator for the myriad of relationships, and for coordinating joint action. They also ensure that the topic of World Heritage is communicated and taken into account within the stakeholder network. Their role highlights the ethical leadership needed to generate custodianship behaviours in “followers” (Hernandez, 2008). For example, leaders who display ethical forms of governance have the ability to generate the trust and relational environments which facilitate the development of custodianship behaviours (Caldwell et al., 2006; Shen, 2003). Furthermore, respondents across the WHSs have commented on these ‘leaders’ dedication, extra work, determination, and guidance in site management. The enthusiasm and dedication of these individuals across the sites is a stimulant in encouraging stakeholder involvement, trust and robust relationships. Therefore, their work is indicated to be a contributing factor in stimulating support and commitment (Davis et al., 1997; Hernandez, 2008).

Their role is also noted to be significant drivers in making the connections with external stakeholders, executing promotional events, and supporting stakeholder groups. This is evident within the Derwent and Edinburgh cases where they have close connections to many of the stakeholders in the external environment. For instance, Edinburgh respondents commented on the openness of the EWH to ‘everybody and everyone’ and the trust and personal relationships constructed due to their association as being a form of community group. Similarly, the Derwent case highlights the importance of WHS teams and having the right people in the right sort of posts and building trust through delivering on the ground.

Therefore, the leading group/individuals also highlight the supportive behaviours which can develop and nurture in order to create custodians among the external stakeholders (Caldwell & Karri, 2005; Hernandez, 2008). For example, to create stewardship behaviours in “followers” then leaders must create relational support (Hernandez, 2008, 2012). Grounded in interpersonal relationships, relationally supportive leaders influence individuals’ behaviours by displaying concern, equality and reverence for each of their

needs, creating interpersonal trust. The existing high-commitment management philosophy (Segal & Lehrer, 2012) which is in place within the WHSs exhibits highly participative atmospheres which contribute to this relational support. Significantly, the development of personal relationships and trust within the internal management environments has already been highlighted as contributing factors to creating custodians (Nowak & McCabe, 2003). However, the external environments of the Edinburgh and Derwent sites also highlight the development of interpersonal trust as a factor which has resulted in heightened custodianship behaviours within wider stakeholders. For example, the interpersonal trust developed and nurtured by Edinburgh World Heritage is seen as critical in gaining wider stakeholder support and involvement. Likewise, the Derwent case emphasises trust and interpersonal relationships between the WHS team and the wider community.

#### **5.4 Obstacles to Custodianship Behaviour**

Despite custodianship behaviours being nurtured among case managers and stakeholders, there are barriers to these becoming more enduring and permanent. The following narrative explores these impediments.

##### **5.4.1 Contesting agendas**

A significant obstacle is the contesting agendas within the WHS environment (see sections 4.1.4.1, 4.2.4.1 and 4.3.4.1). While the findings suggest the WHSs managerial environments have contributed to levels of custodianship (Davis et al., 1997; Segal & Lehrer, 2012), in all three cases, interests - whether they are members of the governance structure or external of it - are constrained by their own organisational or personal interests. These pursuits are often beyond that of World Heritage. For example, the AW and Edinburgh cases comment on how different organisations, especially within the steering group, with different roles and remits can lead to disagreements about specific issues regarding World Heritage - resulting in relationships becoming strained and commitment lost. Such problems are noted by previous studies which highlight that the amalgamation of different interests renders the task of managing expectations and differing agendas challenging (Bell, 2013; Harrison, 2004b; Millar, 2006). Such challenges are inherent in conflicting ideologies grounded on what different interests perceive to be salient, and the difficulty in maintaining relationships where divergence

and the need for appeasement of deviating positions is common (Aas et al., 2005; Lamin & Zaheer, 2012).

Resentment in decision-making is indicated to hinder collective action. Controversial decisions and feelings of resentment create situations where trust and relationships between different bodies becomes fractured. Across all three sites, it is evident that this can influence the propensity for custodianship behaviours to be attained. Diverging interests and controversial decisions also emphasise the challenges which occur when individuals choose a different approach to the relationships they are engaged with (Bell, 2013; Harrison & Hitchcock, 2005). For example, the lack of perceived commitment by the Forestry Commission in Antonine case and the disagreements about specific issues regarding World Heritage in the Edinburgh case between the main partners, highlights the difficulties faced when groups are less collective and act more in line with self-interest (Davis et al., 1997; Nowak & McCabe, 2003). Studies highlight the problems which surface when individuals choose differing paths in decision-making – for instance, if one individual chooses to be collective and the other does not, the former will feel deceived and may detract from the situation or become less cooperative in the future (Ghosh & Harjoto, 2011; Segal & Lehrer, 2012). For example, the Antonine case emphasises how the apparent lack of commitment by the Forest Commission led to another representative doubting their devotion to the WHS placing tension and apathy on the relationship.

In regards to the external environment, controversial issues and diverging interests also demonstrate instances where relationships can be damaged and stakeholders become vociferous and unresponsive. For example, Edinburgh's Caltongate development demonstrates how trust can be lost if representation seems superficial (Morsing & Schultz, 2006; Wolfe & Putler, 2002). Similarly, AW support is limited due to the lack of perceived support from HS and the key partners. In the eyes of the external stakeholders it seems that some managers are acting more in self-interest rather than collectively (Caldwell & Karri, 2005; Davis et al., 1997). As managers highlight, especially in the Edinburgh and Antonine cases, such a rationale has contributed to the removal of support and faith in some of the WHSs' key managerial bodies. As past research highlights, stakeholders will mobilise if they feel that their interests are being overlooked, there is a need to defend a specific interest, or if they feel the organisation in question is being dishonourable or/and opportunistic (Hahn, 2015; Hendry, 2006).

For example, a number of studies have highlighted that support for World Heritage status can diminish among stakeholders if they feel their concerns are not adequately addressed (Haddad et al., 2009; Nicholas et al., 2009).

#### **5.4.2 Understanding World Heritage and it's benefits**

Examples of stakeholder unrest unearth the challenge of the understanding of World Heritage (Cruz et al., 2010; Jimura, 2011). For example, the Edinburgh case suggests that this created unnecessary and imbalanced views and actions. This case implies that, while some developments have been suspect and warrant protest, many controversial issues could be avoided if there was a better understanding of the link between development and conservation. Therefore, while local communities may feel like managers are acting more in line with self-interest, this may not be the case. For instance, the workshops which are in place to gather stakeholder views on possible developments allows for views to be collected from various groups, however particular interests are seen to adopt strategies, such as uncooperative behaviours, when decisions do not fulfil their own aspirations (Frooman, 1999; O'Connell et al., 2005). Therefore, such behaviours could also be perceived to be self-interested rather than looking at the bigger picture (Anderson et al., 2007; Davis et al., 1997).

Such lack of conception is also unearthed within the other cases. For example, the Derwent case highlights the lack of understanding throughout the UK of World Heritage; while the Antonine case also suggests that there is a lack of understanding of the World Heritage concept, with one interviewee even implying that within HS there would be levels of confusion over the term. Consequently, the importance of dispelling an understanding of World Heritage, within both managers and stakeholders, is perceived to be significant, as misinterpretation can led to divergence and conflict between stakeholder groups (Lask & Herold, 2004; Nicholas et al., 2009).

Within the Derwent and Antonine cases, despite attempts to generate World Heritage awareness and support, there still remains little apprehensions of the benefits of World Heritage status. In both cases this could be remedied if the benefits of being a WHS resonated across the site in its entirety. The Derwent case suggests that for this to be accomplished stakeholders need to see that it is not simply the site's mills that are benefiting but other attractions, and people are gaining both economically and socially.

The need to enhance the benefits of World Heritage is more ardently indicated in the Antonine case where it is stressed it could help enhance the involvement and collaboration across the site through certifying that protecting such places does have measurable advantages. Unlike both the Derwent and Edinburgh cases, this insistence could be the result of the lack of support and benefits the site currently has to offer its stakeholder contingent, making it more difficult to emphasise possible advantages to more dispassionate stakeholders. However, this could be due to the infancy of the site in comparison to the other cases that have had numerous years more to generate and justify financial support and develop effective mechanisms to bolster patronage. Such insights resonate with the belief that successful site management and the gaining of stakeholder support is dependent on dispersing the benefits of World Heritage status (Ahadian, 2013; Thompson, 2004).

#### **5.4.3 Resources and Time**

During the examination and interpretation of gathered evidence ‘a posteriori’ themes can become evident and can add additional insight into a research project (King, 2004b; Swan & Scarbrough, 2005). Throughout the data analysis and findings two prominent issues continually emerged as being influential in developing custodianship behaviours among both the internal and external environments of the WHS cases – resources and time. Both will be explored in the impending sections.

##### **5.4.3.1 Resources**

Studies have commented on the financial pressures faced by heritage managers, especially within the context of heritage tourism (Garrod et al., 2011; Li et al., 2008). The issue of resources in WHS management is also highlighted, with the UK sites receiving no additional financial assistance from national government (Millar, 2006). However, the existing literature on stewardship and stakeholder theories on the issue of resources, especially financial, are often prominently overlooked. This appears surprising considering the development of favourable managerial environments to develop collective behaviours, and the implementation of engagement strategies to capture wider interests, necessities varying amounts of resources, typically financial. Commonly, WHS management is funded by local authorities and from bodies such as English Heritage or Historic Scotland. However, unlike single owned entity, the sites in

this study span large geographical boundaries and are characterised by large stakeholder cohorts, meaning they require substantial resources for their administration.

Financial resources are intertwined with many of the issues regarding the complexities of WHS management and creating custodians. This is relevant to both the relationships and projects which characterise site management. Financial restrictions and the tempestuous economic environment in which many of the organisations within the governance structure operate have influenced their involvement. This concern was more vocal in the Derwent and Antonine cases than the Edinburgh case. Reductions in local government funding have meant that staff have less time and financial resources to dedicate to WHS management. This is relevant to the prosperity of the Derwent and Antonine cases which both rely heavily on financial support from local authorities. For example, the Derwent case highlights that reductions in resources means managers have less resources and time to dedicate to World Heritage, especially if it pertains only a fraction of their responsibilities. Reductions in organisational budgets have also seen groups recluses as survival is seen, understandably by some, as their main concern. Additionally, these financial strains could result in the dismantling of the WHS team, leading to fears that it may impact on the site's level of engagement and existing relationships.

The Antonine case echoes these concerns as, despite the intentions and aims of the site's management plan, there simply aren't the finances to undertake or complete many of its objectives, maintain the administrative structure, and engage stakeholders. The Antonine case also identifies that a lack of resources affects engagement with wider stakeholders. Indeed, while project working and stakeholder support are backed, there are little funds for such endeavours, highlighting a possible reason why custodianship behaviours are less apparent in this case. Both the Edinburgh and Derwent cases have been in a financial position which has allowed for more enduring and structural internal governance approaches and the opportunity to engage with a more encompassing cohort of stakeholders. Through this, managers have been able to develop more professional and personal relationships with other managers and wider interests (Crilly et al., 2008; Hernandez, 2008). Furthermore, the ability to assume a wide variety of engagement strategies has allowed the WHSs managers to better reinforce and project their sites historical significance. In other words, the AW management have had restricted opportunities to develop the other-regarding perspective, long-term orientation and



ffective sense of association between individuals (Davis et al., 1997; Hernandez, 2012), therefore, restricting the levels of commitment and identification which could be achieved towards to the site (Cuevas-Rodríguez et al., 2012; Mayer & Schoorman, 1992). Ultimately, the financial position of the AW has rendered it difficult to implement fully the environment needed to develop some of the essential steps in nurturing custodians.

Due to financial restrictions, the AW's management is also reliant on a sole WHS coordinator. Given the sheer size and complexity of the stakeholder network this signifies a barrier in developing the relationship and engagement mentioned above. Again, the Edinburgh and Derwent WHSs are supported by a body or team which is comprised of individuals who have differing responsibilities. Therefore, the AW coordinator is restricted in what can be accomplished. As demonstrated in section 5.3 of this chapter, a dedicated body/team of individuals has been instrumental in developing custodianship. Given the lack of staff dedicated to the AW it is unsurprising that the intensity of custodianship within this WHS appears to be less powerful. With much of the coordinating responsibilities delegated to one individual, and other managerial representatives having their own responsibilities beyond World Heritage, the ability to effectively develop the relationships needed to foster custodianship behaviour appears constrained.

However, while a lack of resources is seen as a growing dilemma, it has also acted as a mechanism in encouraging site stakeholders to come together. In all three cases, projects throughout the sites are reliant on the pooling of resources, resulting in groups becoming more prone and accepting of collaboration. For example, the cases champion the pooling of resources, and even staff, as a benefit which has grown out of WHS management and has eased many of the pressures on particular groups. With sites, like the AW, with limited resources the opportunity to develop better relationships with wider stakeholders should be seen as an opportunity develop partnerships and relationships which could lay the foundations for financial and workforce support. As is seen in the Edinburgh and Derwent cases, developing relationships with a wide-ranging collection of stakeholder interests can result in local community ownership and management of assets and the sacrifice of their free time and resources – in other words, displaying custodianship behaviours (Donaldson, 1990; Kiel & Nicholson, 2003).

#### **5.4.3.2 Time**

Within research on stewardship, the issue of time is not examined in great detail (Davis et al., 1997; Donaldson & Davis, 1991). The theory does highlight the importance of time in the sense that a steward's decision will consider the long-term implications of their choices (Crilly et al., 2008; Hernandez, 2008) and that repeated social exchanges can make individuals more aware of each other and facilitating a move towards a long-term orientation (Caldwell et al., 2008; Caldwell & Karri, 2005). However, to date, there is extremely limited empirical insight into the element of time in relation to the personal and professional relationships between individuals and how this effects the creation of favourable behaviours. Likewise, from a stakeholder perceptive time is often overlooked beyond a single point of contact (Key, 1999), with little consideration of ongoing relationships between managers and wider interests after the implementation of a specific strategy.

Time is a significant factor identified throughout the cases (see sections 4.1.4.3, 4.2.4.2 and 4.3.4.2) and can be identified through two perspectives. Firstly, time is important in creating relationships within the management structures and with wider stakeholders. This is indicated in both the Edinburgh and Derwent case where managers assert that constructing an environment where groups work together takes long periods and is not instantaneous. Equally, the AW highlights how it takes years to construct relationships between managers. Time is also evident in the building of trust and support. This is highlighted in Edinburgh where managers imply that confidence and support has been garnered for EWH and the WHS through their perceived commitment and openness built over time. The Derwent case also exhibits how relationships and trust have improved due to generational changes, with older building owners/managers, who once competed with each other, being supplanted with individuals more ajar to levels of cooperation. However, while each sites governance structure offers a platform for these interactions to take place, the level of convergence is highlighted to be problematic. For example, the Derwent case highlights that, despite being an important mechanism for bringing different stakeholders together, the partnership forum at the time of this research had not met in over a year, while some of the panels/working groups which also scheduled to meet every four months often don't. Similarly, the Antonine case emphasises that the working groups function on an intermittent basis, while others are still not in operation.

Secondly, time acts as an obstacle for enduring interactions and is inherent in the prescribed time actually given to World Heritage issues by numerous stakeholders. For instance, managers in the Derwent case highlight that World Heritage is only a small proportion of their responsibilities. This has meant that often meetings concerning World Heritage are missed, leading to commitment and relationships being affected. The Edinburgh case also highlights how the lack of available time also affects the ability of wider stakeholder groups becoming more involved with World Heritage as people are often too busy. Similarly, the Antonine case also stresses the limited amount of time people have to dedicate to the site due to their role in their organisation being more than just World Heritage.

Such challenges unearth a problem not bound to existing perspectives in stewardship theory. Stewardship theory is a wholly inward looking perspective (Johnson, 2011; Lee & O'Neill, 2003) where organisations have control over their ability to create specific environments where people are expected, and commonly commanded, to work together. Furthermore, in typical organisations creating favourable behaviours through setting compromising of open communication and the ability to develop long-term relationship and trust appears achievable (Davis et al., 1997; Nowak & McCabe, 2003). However, the World Heritage management situation highlights something very different. While there is an administrative structure in place, the irregular interactions between managers highlight that the time needed to develop the relationships which ensue custodianship behaviours are limited in comparison to the typical organisational environment. Furthermore, due to WHS management only being a small part of many managers' responsibilities they don't have the time to commit to fully being involved with the site – something especially potent of times of economic difficulties. Despite this irregular contact, the cases highlight that custodianship behaviours between managers from differing organisations have been developed. Therefore, despite not functioning like a traditional organisation and there being a lack of continual engagement with each other, the WHSs highlight that custodianship behaviours can still be generated through there being the appropriate environment in place.

The discussion also highlights the potential problem of time as a barrier in capturing the external stakeholders. This relates to managers not having sufficient time to develop relations with them and the lack of time external stakeholders themselves have to commit to World Heritage issues. Numerous studies promote the use of strategies in

order to generate awareness and garner stakeholder patronage (Moriarty, 2012; Pirson & Malhotra, 2011), however the actuality of time is not fully eluded to as a major barrier. Within the WHSs in this study there is the challenge that some stakeholders in the external environment simply don't have the time to engage with issues affecting the site. However, the Edinburgh and Derwent cases do demonstrate that custodianship behaviours can be developed in those stakeholders who do have time, through working with them and empowering them through heightened responsibilities and involvement (Luoma & Goodstein, 1999; Wicks & Harrison, 2013).

However, the development of custodians among wider stakeholders in the Antonine case was problematic. Again this points to the issue of time. The Edinburgh and Derwent sites are supported by dedicated WHS teams who have varying responsibilities, therefore allowing for more interaction with site stakeholders. However, the AW is supported by a single coordinator who is responsible for the key administrative tasks of the site. Therefore, available time to develop strategies and engage with wider stakeholders is limited, highlighting a potential reasoning why the site has struggled to develop custodians outside the management structure. This challenge is coupled with the sites financial stresses and the lack of availability of representatives of the key partners. Importantly, the Derwent case highlights those financial pressures could lead to the disbanding of the WHS team, leading to the concern that the relationships construed throughout the site could be lost. Given the importance of staff time in developing these relationships, which the site team has been pivotal in doing, the possible feelings of custodianship among the sites stakeholders could be lost without such enduring support and effort.

## **5.5 Summary**

The aim of this study is to develop a custodianship behaviour model for the management of WHSs. To do this, theoretical perspectives on stewardship and stakeholders have been explored in attempt to develop a foundation for nurturing custodianship behaviours within the WHS environment. This will be presented in the following chapter. Custodians or custodianship behaviour refers to individuals who are collectively minded, pro-organisational, and value the long-term sustainability of the group and the WHS (Davis et al., 1997; Hernandez, 2012). This chapter discussed the findings of the three WHS cases in relation to the themes identified at the end of the literature review (see section 2.4). Given that WHSs are typically characterised by a

managerial approach which necessitates an array of differing organisations and interests coming together to form the administrative structure, and that there are varied amounts of wider stakeholder interests, such behaviours appears advantageous. Through a process of cross-case analysis, this chapter critically explored the development of custodianship behaviours within the internal management structure and the external stakeholder network.

In regards to the WHSs internal environment, despite structural differences in their approach, each site emphasises approaches which promote participation, teamwork, open communication and collaborative decision-making. Supported by an environment where trust and long-term relationships are promoted, these situations offer the foundations from which custodianship behaviours are nurtured. As the discussion emphasises, these elements foster an other-regarding perspective, long-term orientation, and affective sense of association with others and the site within individuals. Additionally, evidence suggests that some managers have developed intrinsic motivations from their participation within their site's governance. As such, elevated levels of commitment and identification to their WHS and the management group have been identified among managers. From these psychological states, custodianship behaviours have been able to be nurtured among representatives which assemble to form the WHSs managerial approaches. Such behaviours are evident through manager's admittance of more collectively motivated acts, assuming decisions that don't benefit their own cause, exhibiting pro-site decision-making and heightened devotion to the WHS and its managerial environment.

External of the managers within the WHSs internal administrative environment, the discussion also highlights the importance of various stakeholders which can influence site management. As such, nurturing custodianship among them is also important. This process primarily begins with efforts to attain stakeholder involvement and support through engagement strategies such as: raising awareness and reputation management, representation, education, and support. Particularly in the Edinburgh and Derwent cases, managers remarked that such strategies have had a favourable influence over stakeholders. Similar to the internal environment, managers imply that they have perceived actions which exhibit an other-regarding perspective, long-term orientation, and affective sense of association with others among stakeholders. Managers also highlight elevated levels of identification and commitment to the WHS and the

management group from stakeholders, leading to perceived custodianship behaviours. This includes: raised patronage from business and communities, projects accomplished that required multiple ownership consent, individuals/groups donating resources, time and effort to site projects and events, and groups becoming more open to working together after long periods of tension.

However, the discussion identified limited awareness of custodianship behaviours among wider stakeholders in the Antonine case. This could reside in the restricted intensity of the engagement, project working and support offered to stakeholders identified in the Antonine case. While the Edinburgh and Derwent case highlight intensified levels of continual relationship building and prolonged participation and representation, the Antonine case offers limited evidence of this. Therefore, the process of nurturing custodianship behaviours among wider Antonine stakeholders is fragmented and less penetrating. Despite this, limited levels of resources and time, and there only being a single WHS coordinator, offer underlying issues which contribute to this limited intensity.

The discussion also emphasises the value of there being a devoted WHS team or body as a mediator in cultivating the environments needed to enhance the relationships, trust, confidence between differing interests, and engagement with wider stakeholders. Therefore, they perform a pivotal role in developing custodianship behaviours throughout the WHSs. Despite this, there are hindrances which act as a barrier to custodianship behaviours being realised. This includes diverging agendas, self-interest, the impact of controversial decisions, and a lack of perceived commitment amid groups. Such examples contribute to feelings of suspicion and the utilisation of defensive actions which can encumber custodianship behaviours being aroused.

Along with the pre-defined themes, two additional themes were identified which are often overlooked in the literature – resources and time. Both issues are important factors which can constrain or advance custodianship. From this discussion a model of custodianship behaviours has been developed and will be presented in Section 6.3 of the following chapter. The subsequent chapter will also review of the aim and objectives of this research and offer concluding remarks on the limitations of the study and directions for further research. It will also present the theoretical contribution of this thesis – the custodianship behaviour model (see figure 21).

## **6 Conclusion**

### **6.1 Introduction**

The following chapter will offer concluding remarks on this research. This will begin with a review of this study's aim and objectives, followed by an overview of the theoretical and contextual contribution of the research - the custodianship theoretical; model (see figure 21). Furthermore, implications for management practice will also be proposed. Consideration of this study's limitations will be reflected upon, as well as avenues of future research. Finally, the chapter will end with the study's overall conclusion.

### **6.2 Reviewing the Objectives**

#### **Objective 1: To evaluate the existing theoretical approaches to the management of World Heritage Sites**

With the aim of this research to develop a 'custodianship behaviour model' (see Figure 21) for the management of World Heritage Sites, the study first had to evaluate existing theoretical approaches to the management of World Heritage Sites. As highlighted in Chapter 1, there has been heightening levels of interest within the realms of conservation and heritage protection. This has witnessed the international community taking active strides towards fashioning an environment of global understanding and appreciation for safeguarding heritage, most notably through the creation of WHSs. Despite this, the growth of heritage into a worldwide industry has brought with it significant challenges, rendering cultural heritage management a key focus of research. Therefore, effective management practices are necessitated to ensure that heritage assets are utilised and appreciated in a way which ensures it is preserved for future generations.

Within research, much of the discussion surrounding the challenges of CHM of WHS focuses on the complexities concerning stakeholders (Aas et al., 2005; Nicholas et al., 2009). Central to World Heritage is the promotion of a sense of collective responsibility and that sites are communally owned by humanity. However, many WHSs span large geographical boundaries and are characterised by diverse ownership, meaning that multiple stakeholder involvement is crucial (Bell, 2013). However, given the differing roles and motivations of groups, this unearths difficulties surrounding decision-making, involvement, and the impacts of tourism (Chiabai et al., 2011; Haddad et al., 2009; Harrison, 2004a). Many of these studies concentrate on local communities who are

often overlooked and gain limited benefits from World Heritage designation (Wager, 1995; Wall & Black, 2004). Such difficulties typically result in conflict, where support and involvement is lost (Aas et al., 2005).

Despite this, studies suggest practices to alleviate such challenges. This includes: fashioning congruent approaches which endorse multiple stakeholder inclusion and participation in decision-making and managerial processes, open communication, empowerment, and partnership working (Landorf, 2009; van der Aa et al., 2004; Xu & Dai, 2012). Such practices are grounded in the recognition that for heritage to be used, consumed and managed in a responsible way there must be a cohesive belief among those who could have an influence on it (Millar, 2006; Nicholas et al., 2009). Despite this, such strategies are sometimes hindered by contextual difficulties such as: the rarity of identifying and bringing together all the relevant interests, power struggles, stakeholders being omitted and overlooked, perceived clientelism, and the lack of understanding of World Heritage (Hazen, 2009; Yuksel & Yuksel, 2008).

Within WHS management, studies often fail to embrace theoretical perspectives from the field of general management, with the context largely absent from high ranking management journals. However, there are some articles which do employ theory to explore multiple perspectives in WHS management - namely stakeholder theory (Aas et al., 2005; Chiabai et al., 2011; Nicholas et al., 2009). These studies have offered insights on how to successfully manage stakeholders. This includes approaches such as creating stakeholder committees, World Heritage education, and training for managers (Aas et al., 2005; Garrod et al., 2011).

However, the majority of these articles often focus heavily on the tourism aspects of management and particularly local community involvement. Therefore, a more encompassing approach to creating congruous environments is warranted, not simply looking at wider stakeholders such as local communities, but exploring the relationships and the potential for collective behaviours between managers and representatives who reside within WHS structures. One theory which has not been applied to this context is stewardship theory (Davis et al., 1997), a perspective which assumes that managers that are collective driven are intrinsically motivated, trustworthy, and are highly committed and attached to the organisation. Similar to stakeholder theory which expands the obligations of the organisation beyond the shareholders, this perspective contends that



people can be nurtured to become stewards through various structural underpinnings and situational conditions (Hernandez, 2012; Segal & Lehrer, 2012). Given that WHS management requires multiple stakeholder collaboration and collective action, stewardship theory offers a potential avenue for further exploration.

**Objective 2: Identify themes which could establish custodianship behaviours World Heritage Site management.**

To explore the potential for the development of a custodianship behaviour model for the management of WHSs, two theoretical perspectives were reviewed - stewardship and stakeholder theories. Both were considered due to their relevance to WHS management and offered a foundation to identify themes which could establish custodianship behaviours. As section 1.4.1 discussed, custodianship is typically associated with those people who are entrusted with maintaining or guarding something of value or a property for another person. Within the heritage context, custodianship can be related to both formalised and uniformalised processes. Within this, who is regarded as a custodian can range from: traditional custodians such as governmental and non-governmental bodies who are responsible under, and administer, laws and procedures; building proprietors whether they be private or public; or general members of society who are influenced through practices, knowledge and values which have existed and evolved over time regarding the relationship between themselves and their environment. Together, who is regarded as a custodian can refer to multiple interests and individuals whose action or inaction has the ability to influence the management and protection of a given place. This perspective fits well with the UNESCO (2012) view that each generation is a custodian and that collective management and ownership of heritage is vital to its endurance. In line with this, custodianship behaviours refer to individuals who are collectively minded, pro-organisational, and value the long-term protection and sustainability of the WHS and the group.

WHS management is typically dependent on different organisations and interests (each with their own roles and remits) coming together to inhabit a management group and approach, and to create a management plan. Commonly through goodwill, these management groups work together and meet on an ad-hoc and intermittent basis. However, given the numerous interests, self-interest and divergence are unavoidable and can cause challenges. Therefore, custodianship behaviours if they can become inherent within these groups would appear favourable. Stewardship theory offers an

avenue from this to be explored – both in terms of developing behaviours which can be seen as custodianship and the environments which encourage such behaviours (Davis et al., 1997). An internally positioned perspective on organisations, stewardship emphasises the notion collectively orientated, trustworthy, committed and intrinsically motivated managers can be nurtured through differing situational and structural environments (Hernandez, 2008; Wasserman, 2006).

These situational and structural environments which develop stewardship include: team-working, open communication, empowerment, personal development, and the fostering of trust and long-term relationships (Segal & Lehrer, 2012; Walters et al., 2015). These produce the psychological mechanisms which nurture stewardship behaviours, and include: an other-regarding perspective, a long-term orientation, and an affective sense of association with others (Hernandez, 2012). Subsequently, commitment and identification to the organisation is also elevated, all of which leads to stewardship behaviours (Davis et al., 1997). Therefore, the establishment of such an environment within WHS management groups and structures (the internal environment) has the potential to nurture custodianship behaviours among different managers/representatives, even if they only meet on an intermittent basis.

External of those interests who reside within the management approaches are numerous stakeholders who live, work and own properties within its parameters. Therefore, they have an influential impact on WHS management and protection. Consequently, nurturing custodianship behaviours among these stakeholders is equally pertinent. Stakeholder theory was reviewed to identify possible themes due to its focus on organisations managing relationships with its external interests who are influenced by its actions and who can impact on its performance (Donaldson & Preston, 1995; Freeman, 1984). Through recognising possible stakeholder strategies, the theory highlights the potential for organisations to enhance support and performance through stakeholder management (Gardberg & Newbury, 2013; Godfrey, 2005; Luoma & Goodstein, 1999).

Through reviewing the literature on both theories, themes were identified which could be explored to develop a custodianship behaviour model for the management of WHSs. Stewardship theory's positive supposition about managers motives, which are collectively driven and are committed, complement stakeholder theory's assumption of

the manager's role to balance stakeholder concerns. Therefore, themes were unearthed which would allow for the investigation into the potential nurturing of custodianship behaviours among managers in WHS management structures and those stakeholder external of it. These overarching themes were: situational and structural factors (stewardship theory), stakeholder engagement (stakeholder theory), and psychological underpinnings (stewardship theory). These themes also had sub-themes which provided focus on their intricacies (see Chapter 1, section 2.4). These themes were used to enlighten the data collection and analysis stages of this research, and ultimately to inform the custodianship behaviour model that will be presented in section 6.3.

**Objective 3: Investigate current management practice and its effectiveness in nurturing custodianship behaviours among managers (Internal Structures)**

In this study, each WHS highlights a different approach to the layout of its managerial structure (see Chapter 4, Figures 7, 11 and 16). Despite differences, each set-up follows a similar tactic – an overarching group which offers strategic direction, supported by working groups or panels which focus on more specific matters. Across the WHSs, one element that does differ is the level of representation within these internal management structures. For example: Edinburgh's overarching management relies on three main groups (EWH, ECC and HS) with sporadic input from other city interests such as Essential Edinburgh; the AW's structure has an overarching steering group made up of its 6 key partners (and chairs of the delivery groups) with representation from other bodies present in the sites working groups; and the Derwent site relies on a board which contains various site interests, supported by a partnership forum which contains over 30 interests who also populate the panels and working groups.

Current management practice within each WHS highlights the embracement of an environment which promotes inclusion, collaboration, open communication and participatory decision-making - all of which are emphasised in the sites strategic documentation. Such an environment is essential given that the majority of managers within these structures represent a particular organisation or interest. However, despite only meeting on an irregular basis, such an environment has been forged and promoted through the close working relationships within the sites' working groups. Successful project working has also reinforced the necessity and acceptance of collaboration as a favoured approach to site practices, while open communication has allowed different interests to voice their concerns freely and become more aware of World Heritage and

others roles. This setting is also supported by value placed on trust and long-term relationships.

The internal management environments of the WHSs have had an influential impact on those managers within it. These environments offer the starting point from which custodianship behaviours ensue. Across the sites, individuals have developed an other-regarding perspective and long-term orientation, emphasised through their heightened consideration for others in decision-making and that the enduring impacts of their actions are given more credence. Crucially, managers, through their continuing collaboration and working within the World Heritage environment, have developed an affective sense of association with others, leading to elevated levels of trust and the surrendering of self-interest for collective action. Furthermore, there is also evidence of intrinsic connotations within managers, reinforced through their stated enjoyment and satisfying nature of their involvement, resulting in a desire to commit more time and effort to it. From these environments, each site also signifies that elevated levels of commitment and identification to WHS management and the site have been augmented.

Consequently, custodianship behaviours have been able to be nurtured among many of the managers who reside within the internal management environments of the WHSs. Such behaviours have been exhibited through: collectively motivated actions, accommodating decisions which do not entirely benefit their own cause, demonstrating pro-site decision-making, and elevated devotion and association to the management group and the WHS (see Appendix 4). Despite custodianship behaviours being apparent, there are a number of challenges which act as impediments and include: the irregular interactions between managers, some working groups not being in existence, conflicting agendas, controversial decision-making, and a lack of World Heritage understanding and perception of the benefits. Some challenges are more site specific, such as the lack of tangibility of the AW which managers highlight as a difficulty in gaining support and continuing commitment.

One of the significant elements of the each WHSs management is the presence of a dedicated team (Edinburgh's EWH and Derwent's team) or a sole WHS coordinator (Antonine Wall). Supporting each WHS, these people act as facilitators for the myriad of relationships which characterise each site, while also acting as administrative support to the managerial/working groups. Throughout the cases, their hard work and

commitment is identified to be a driving force which has nurtured and maintained relationships, trust and confidence between differing interests. Therefore, they perform a pivotal role in developing custodianship behaviours as they underpin many of the managerial practices. However, the AW's reliance on a sole WHS coordinator is a challenge due to the time restrictions and intensity of work that can only be achieved by one person.

**Objective 4: To identify engagement strategies in encouraging support and custodianship behaviours (External Engagement).**

Each site emphasises the importance of the stakeholders which are external to the internal management approach in place. Ranging from local communities to businesses, these interests have a significant role as their actions or inaction have an influence over WHS management – something highlighted across all three WHSs strategic documentation. Therefore, nurturing custodianship behaviours among these stakeholders is significant and must be reflected in developing the theoretical model proposed in this study's aim.

Each WHS displayed a range of strategies used to capture stakeholder awareness and support. Broadly, these covered the areas of representation, raising awareness and reputation management, education, and support. Across the cases, representation is encouraged through the consultation processes which accompany the creation of site documentation and possible developments. Despite this, representation is still limited, with evidence stressing the lack of wider stakeholder inclusion, especially in the sites' internal managerial structures – especially at Edinburgh and the AW. Concerns are also voiced over the level of community ownership of site documentation, while trust has been lost through stakeholder views being overlooked. Of the three sites, the Derwent case has tackled the problem of representation effectively through their creation of cluster groups, which have empowered stakeholders by giving them a voice and role within site management – highlighted through the site's Ambassador Scheme.

Each site also stresses various strategies at raising awareness of its World Heritage status and management endeavours (See section 5.2.2, Table 40). Such avenues are significant in reinforcing World Heritage and conservation issues, as well as communicating the importance of stakeholder involvement. Closely related, each site stresses the significance of educational mechanisms as a means to entrench heritage

related issues into different people (especially children), and encouraging a heightened awareness of site protection and preservation. Importantly, Edinburgh has developed education further, using World Heritage as a means of addressing wider societal issues such as poverty and social inclusion.

Engagement also takes the form of support. This was particularly evident at Edinburgh and Derwent where levels of financial and personal assistance are offered to stakeholders. For example, Edinburgh's conservation funding programmes offer assistance to a range of interests, while they are open to anyone who comes through their office doors. Similarly, the Derwent case signifies the availability of business assistance and training, some of which are used to link and develop relationships across different attractions. Significantly, Edinburgh stresses the value of projects (such as the Graveyards Project) which are community-led and allow for local stakeholders to take an active role in site management, also emphasising engagement which is on-going and moves beyond a single point of contact. Additionally, the Derwent case highlights that relationships with wider stakeholders are reinforced through informal meetings with members of the site's dedicated team.

Through these engagement strategies managers have indicated a number of outcomes. This exhibits a comparable process indicated in the internal environment. Within the Edinburgh and Derwent cases particularly, managers have commented on stakeholders developing an other-regarding perspective, long-term orientation, affective association with others and the site. Furthermore, elevated levels of commitment and identification towards the WHS and the management group have been apparent. This has resulted in perceived levels of custodianship behaviours among site stakeholders (See Chapter 5, Table 41). This incorporates; projects being accomplished which have relied on multiple ownership approval, heightened levels of patronage, stakeholders donating resources, time and effort, and also groups working together after long periods of conflict.

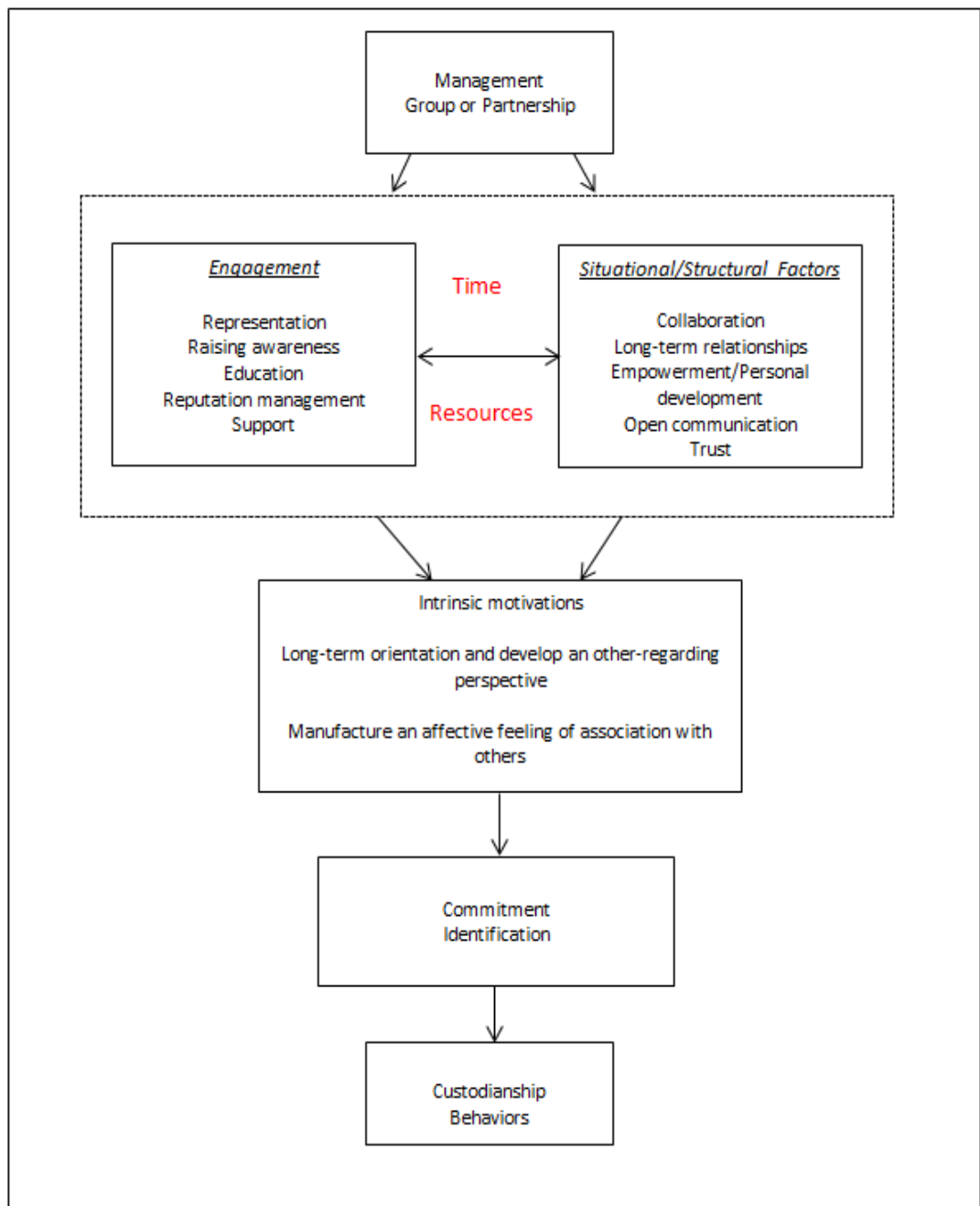
Conversely, AW managers emphasise limited perception of custodianship behaviours among their wider stakeholders. This could be the result of the constricted intensity of project working, engagement and support offered by the AW management. Edinburgh and Derwent both show that manufacturing and nurturing stakeholder relationships through various strategies has been pivotal in fostering custodianship behaviours.

However, the AW highlights an environment where both time and money are extremely limited, exacerbated with there only being a single WHS coordinator. Again, like the internal management environment, the leading group (Edinburgh's EWH and Derwent's team) are significant factors in the implementation and maintenance of engagement strategies and relationship building among wider stakeholders – something the AW lacks.

## **6.3 Theoretical Contribution**

### **6.3.1 The Custodianship Behaviour Model**

Through reflecting on this study's objectives in Section 6.2, this section will address the overall aim of this research. The aim of this research is to develop a custodianship behaviour model for the management of WHSs. This was accomplished through combining perspectives of stewardship and stakeholder theories – something which has not been empirically attempted in previous studies. Chapter 5 explored the research findings through a cross-case discussion of the study's themes in relation to extant literature. From this discussion a model of custodianship behaviours has been developed and is presented in Figure 21, contributing to the existing body of knowledge on WHS management, and stewardship and stakeholder theory. Figure 21 demonstrates how both stewardship and stakeholder perspectives could be combined and utilised as a means of creating collectively minded stewards – or custodians of heritage. To reinstate, custodians or custodianship behaviours refers to individuals who are collectively minded, pro-organisational, and value the long-term protection and sustainability of the WHS and the group (Davis et al., 1997; Hernandez, 2012).



**Figure 21: The custodianship behaviour model**

As the cases emphasises, WHS administration is commonly based on different stakeholders coming together to create a management plan and a suitable administrative approach - predominantly through goodwill. These managerial groups often represent different stakeholders, ranging from public and private bodies, landowners, local associations and businesses, and so self-interest and protection of their own claims or organisation's aims are somewhat unavoidable and can cause considerable obstacles (Bell, 2013; Millar, 2006). Furthermore, these representatives are the agents/managers who are tasked with the successfully administering and protecting a given site for its myriad of principles – property owners, business, communities, public/private bodies,



and society as a whole. Therefore, custodianship behaviours, if they can be inherent within the managerial groups which come together to administer WHSs, would seem beneficial.

Due to these groups' overarching responsibility for WHS management, they have a significant influence on the situational and psychological antecedents which can help nurture custodianship behaviours. Therefore, as Figure 21 exhibits, these leading managerial groups provide the starting point to which custodianship behaviours could be nurtured, through developing the situational and structural factors which promote partnership working, open communication, long-term relationships and trust (Caldwell et al., 2008; Davis et al., 1997). In this study this would be the Edinburgh WHS steering group, the Derwent Valley Mills Board and Partnership, and the AW management plan steering group. As was highlighted in addressing objective 3 of this study, while the three sites have different structural approaches to their managerial arrangements, they demonstrate embracement of these factors throughout their internal set-ups, facilitated through working/delivery groups and cross-working which contain a breadth of representation, and site documentation. Through this, an ethic of collaboration and trust has become entrenched as an aspect of their managerial environments, and subsists beyond a distinct occasion and engagement. In other words, this has developed a foundation for working concurrently beyond particular projects and interactions (Haskins et al., 1998; Hernandez, 2008, 2012). Furthermore, open communication has allowed for the incorporation of differing perspectives into decision-making, while the mission and objectives of what the groups are trying to achieve as a whole is intensified (Segal & Lehrer, 2012).

Subsequently, as was emphasised in addressing objective 3, the environment described above is highlighted to have fostered an other-regarding perspective, long-term orientation, and affective sense of association with among site managers (Coule, 2015; Hernandez, 2012). Such psychological states are demonstrated across the sites where managers have become more open and appreciative to others' views and needs, a more long-term approach to decision-making, and the identification of friendships which have developed with fellow managers and have influenced their actions (See sections 5.1.5.2 and 5.1.5.4). Additionally, managers across the cases highlighted levels of intrinsic motivations (Davis et al., 1997; Tosi et al., 2003) which have been developed through their experiences within the managerial environment (see section 5.1.5.1). These

psychological elements were important in nurturing individuals towards custodianship behaviours, as through these factors managers have developed heightened levels of commitment and identification to their WHS and the management group (see section 5.1.5.5). The discussion also implies how the personal relationships between individuals are seen as a significant factor in developing such commitment and identification. Therefore, through elevated levels of commitment and identification towards the group and World Heritage, individuals become more collectively minded, pro-organisational, and value the long-term sustainability of the group and World Heritage – or custodians of heritage (see section 5.1.6).

As highlighted in answering objective 4 of this research, the creation of custodians must travel beyond that of the groups which assemble to manage a given site. Within the parameters of many WHSs there are various stakeholders and owners that may not be involved in the management process/group, are overlooked by managers or are disengaged from the actuality and importance of their surroundings (Harrison, 2004a; van der Aa et al., 2004). However, in order to create a more inclusive network of custodians, their presence is vital. In some cases, this may not be the fault of the individual, but based on the reality that some sites are overly complex and span great distances (Aas et al., 2005; Millar, 2006). For example, the Derwent Valley Mills WHS spans 15 miles and has around 34,000 residents living in separate communities.

Therefore, the need for the management to engage with and gain support for peripheral interests is significant. Through stakeholder engagement (Lamin & Zaheer, 2012), there is the potential for differing groups to become more involved in site management and appreciate World Heritage, leading to the creation of custodians. As was demonstrated in addressing objective 4 of this study, the three cases highlight the reliance on various forms of engagement to capture the attention of those stakeholders external to the management structure. This includes representation, raising awareness and reputation management, education and support (see Chapter Four, sections 4.1.3, 4.2.3 and 4.3.3). Therefore, as Figure 21 depicts, the responsibility to ensure that wider stakeholder groups and those who are commonly disengaged from the administrative set-up or who are detached from the WHS are heavily reliant on the management group or partnership. Using stakeholder thinking, strategies must be put in place to engender awareness and support for the notion of World Heritage and its management.

Through engagement, this offers the opportunity, not simply for augmented awareness and support, but to help encourage more individuals and groups to become involved within site management. Elements of stewardship theory such as team-working, empowerment and personal responsibility gain impetus as they have the ability to create environments where individuals and groups feel they can contribute to site management and value their surroundings (Huse, 2005; Lee & O'Neill, 2003). For example, both the Edinburgh and Derwent cases reveal how engagement goes beyond a single event and embraces heightened involvement, which bestows on stakeholders responsibility and empowerment through community-led endeavours. This is highlighted in the Belper Cluster Groups (Derwent) and projects such as Granny's Green and the Graveyards projects (Edinburgh) where stakeholders are indirectly immersed into the managerial environment without being members of the internal management structure.

Through engagement, managers in the cases, especially Edinburgh and Derwent, highlight that they feel that stakeholders have begun to develop an other-regarding perspective and long-term orientation (see section 5.2.4.1). Furthermore, they also report levels of affective association between themselves and stakeholders, reinforced through events and meetings which maintain and strengthen relationships between them (Kelly, 2001) (see section 5.2.4.2). Resultantly, managers also perceive heightened levels of commitment and identification from these stakeholders (see section 5.2.4.4). This is demonstrated through the managers reporting heightened stakeholder involvement, the contribution of time and resources, and groups working together which were once at odds. Collectively, as witnessed in the analysis of the internal environment, custodianship behaviours can be developed through the embracement of practices which support the development of other-regarding perspective, long-term orientation, and affective sense of association with others, leading to heightened commitment and identification to the group and the WHS (see section 5.2.5).

However, as highlighted in answering objective 4 of this study, the ability to generate custodianship behaviours outside the internal organisation, or in this case the particular management structure of the WHS, may be challenging (Johnson, 2011). This relates to issues such as, accommodating and maintaining the structural and psychological changes that occur after participation has taken place, and even generating support in the first instance. Furthermore, there are issues surrounding the decisions and actions of those in power which can lead to community support and participation and the

acceptance of regulations or policies being diminished through time (Yuksel & Yuksel, 2008). Therefore, approaches which promote enduring, rather than tokenism, stakeholder engagement and collaboration are essential providing the platform to create responsible custodians – as demonstrated in the Edinburgh and Derwent cases. Despite this, even if simply support is gained, without enduring involvement in the overarching managerial structure, this could generate a sense of commitment and identification which may increase the likelihood of stakeholder groups gaining an appreciation of the site. Consequently, this could stimulate collective and responsible behaviours towards the site.

While the overarching managerial structure plays a pivotal role in the nurturing of custodianship behaviours both within the internal management structure and external of it, a specific element is significantly important – the dedicated WHS team or coordinator (the Derwent WHS team, the Edinburgh World Heritage Trust, and the AW's WHS coordinator). In answering objective 3 and 4 of this study, managers across the WHSs emphasise the role these 'leaders' play in site management, bringing together and engaging different stakeholders, and maintaining relationships. Indeed, the cases underscore that it is the hard work of these people, their enthusiasm and openness, which has been central in developing the relationships and commitment to the managerial group and the World Heritage. Therefore, their role in nurturing custodianship behaviours cannot be underestimated. Significantly, the AW's reliance on a sole coordinator is a severe limitation. Unlike Edinburgh and Derwent where the sites have the luxury of teams of professionals, the ability for the AW to develop custodianship is somewhat restricted by its lack of workforce which can employ the myriad of approaches apparent in the former sites.

In answering the objectives of this study, a number of emerging issues also became vital to the findings. Given the importance of the two 'a posteriori' themes of resources and time to the successful functioning of the WHS management environment and the development of custodianship behaviours they have been immersed into the model proposed in Figure 21. As Figure 21 emphasises, resources and time are integral elements of both the situational/structural factors which characterise the WHS managerial environment and the engagement of wider stakeholders. As highlighted in the discussion, all three case sites have been able to develop levels of custodianship behaviours within their internal managerial environments. Likewise, although not

abundantly cited in the Antonine case, custodianship behaviours have been able to be attained within many of the Edinburgh and Derwent WHSs wider stakeholders. However, the process is inherently influenced by resources and time. Resources are pivotal in sustaining each sites managerial structure, for continuing communication, projects/events, and their site 'team(s)'. Furthermore, limited resources have restricted the involvement of specific site interests and resulted in working groups (the AW) not becoming functional. Furthermore, as identified in the Antonine case, this has created a barrier in offering support, enhancing inclusion, and engaging in strategies to generate wider stakeholder patronage.

Collectively, resources are imperative to ensure that the appropriate managerial environments and subsequent relationships between different actors are developed. Both the Edinburgh and Derwent cases highlight the possibility of fostering custodianship among managers and wider interests when suitable investment is available. However, with reductions in financial support, as indicated in the Derwent case, this could potentially result in custodianship behaviours becoming more difficult to be nurtured. For instance, the Derwent case demonstrates the significance of having a funded 'team' to help in the administration of World Heritage issues. It is further identified that this team has been instrumental in generating the relationships between site managers and between the governance structure and wider stakeholders. However, with the threat of imminent reductions in local authority funding, the future of the team is in jeopardy, with the potential concern being the loss of many of the relationships which they have built up over the years. Such an example demonstrates the significance of resources in the process of developing custodians.

Secondly, given that the fostering of custodianship behaviours requires the involvement and interaction of individuals in order to develop the psychological antecedents of custodianship, time is equally important. As the discussion demonstrated, even if there are specific managerial environments in place or engagement strategies employed, unless people have time there is limited opportunity to develop custodianship behaviours. Managers across the WHSs, especially those in the Derwent and Antonine cases, mention that restrictions on managers has meant that meetings are often missed and there is limited time for World Heritage responsibilities. Therefore, the lack of opportunities to work in collaboration and develop relationships with other interests is limited, as is the ability to fully comprehend the importance of World Heritage.

Furthermore, the lack of sufficient staff time is seen as a challenge in engaging and developing wider stakeholder relationships at the AW – something which is not surprising considering the site's main administrative responsibilities lies with a single coordinator. Therefore, limitations of time, regardless of if they are a manager or a wider stakeholder, render the process of developing custodianship behaviours difficult.

As mentioned previously, WHSs are administered by distinctive arrangements, with their overarching management typically consisting of various groups, with differing interests and remits – therefore, they do not function as consistently and continually as typical organisational structures. As such, due to the managerial structure being characterised by different organisations and interests, the issue of resources and time is foreseeable. Given the pressures on individuals and their own organisation's interests, it is predictable that the limitations of their own resources and time means World Heritage may come second best. However, despite this, the cases demonstrate instances where custodianship behaviours can be developed when time and resources are given credence.

Through the development of the custodianship behaviours model, this research has contributed to existing knowledge on stakeholder and stewardship theories by highlighting that combining both perspectives can offer a sound foundation for nurturing custodians of heritage. In doing so, this study has provided evidence of the usefulness of integrating elements of the two theories – answering calls by Laplume et al. (2008) who suggest the potential for the two perspectives to be assimilated. This study has also underscored the importance of resources and time in both developing custodians and engaging stakeholders. Despite being central issues, both are largely overlooked in stewardship and stakeholder perspectives, and so this study supplements existing research by highlighting the importance of theorists to consider both topics.

This research has also added to existing studies by demonstrating support and adding further exploration of the antecedents which are suggested to be pivotal in developing collectively minded and committed individuals (Davis et al., 1997; Hernandez, 2012). Given that stewardship theory is under-researched (Hernandez, 2012), with a lack of investigation into the precursors which encourage and explain the development of collective behaviours, this study has added further value to its theoretical lens. Furthermore, the majority of studies which incorporate stewardship theory are taken

from large organisational or family contexts (Anderson & Reeb, 2004; Boivie et al., 2011), especially focusing on CEO or high level management (Boyd et al., 2011; Elsayed, 2007). This study, which focuses on a very different setting where the managerial context is more flaccid and the focus is on less elevated levels of management, therefore adds to stewardship research and provides evidence of its potency in a new context.

Evidence from this research also demonstrates the usefulness of stewardship outside the theory's usual boundaries – solely the internal workings of the organisation (Davis et al., 1997; Johnson, 2011). This research has highlighted that elements of stewardship theory can influence stakeholders outside the internal workings of the organisation. Both the Edinburgh and Derwent sites indicate that engagement strategies which allow for stakeholder participation and representation which is on-going and not done in isolation, has the ability to develop custodians among wider stakeholders as they become more immersed into the WHS management environment. Therefore, as wider stakeholders become submerged into a management environment which is built upon the situational underpinning of stewardship, custodianship behaviours have the ability to ensue; regardless of if the individual is a member of the internal management structure.

#### **6.4 Contextual Contribution**

In fulfilling the aim of this research (see Section 1.4.2), the development of a custodianship behaviour model has provided a contextual contribution to CHM, particularly that of WHSs. As emphasised in answering objective 1 (see Section 6.2), CHM has been an issue of growing international significance (Young, 2014), especially within the realms of WHS management (Hazen, 2006; Nicholas et al., 2009). Due to the sizable geographical boundaries and the multiple ownership patterns which personify WHSs (Bell, 2013), research has often focused on the challenging nature of managing such places which are characterised by numerous stakeholders (Aas et al., 2005; Millar, 2006). Ranging from public and private bodies to local communities and businesses, the diverging roles, motivations and commitment of these groups are highlighted to render management problematic (Haddad et al., 2009; Wager, 1995). These difficulties also act as an impediment to one of the central aims of World Heritage – collective responsibility (UNESCO, 2014f).

In response to such difficulties, studies have suggested strategies to ease such challenges and include: multiple stakeholder presence in management, collaborative decision-making and project working, empowerment, and open communication (Bell, 2013; Harrison, 2004a; Lask & Herold, 2004). While these studies have offered useful insights, they often fail to embrace theoretical perspectives from managerial research. Such omission may be the reasoning why the context is largely absent from high ranking management journals, with the exception of tourism. However, there are some studies which do adopt managerial theory, namely stakeholder theory, to explore multiple stakeholders in WHS (Aas et al., 2005; Garrod et al., 2011). These studies offer similar remedies to this challenge, stressing the need for congruent environments, participatory processes, World Heritage education and training for managers (Chiabai et al., 2011; Nicholas et al., 2009).

This research has provided a contextual contribution to CHM, particularly WHSs, through offering a theoretical framework for the development of custodianship behaviours among site stakeholders. In doing so, this study enriches the shortage of empirical research on stakeholder perspectives in the context of WHS management. This was also done through embracing a theoretical perspective, taken from management thinking, which has not previously been explored within this context – stewardship theory. Through combining stewardship and stakeholder perspectives, this research has developed a custodianship behaviour model, offering a more comprehensive theoretical approach to developing collective and committed behaviours, and so building on and enhancing current studies. Furthermore, this study has looked beyond the typical focus of concentrating on specific stakeholder groups such as local communities (Nicholas et al., 2009) and focusing on tourism (Aas et al., 2005), to investigate the possibility of nurturing favourable environments and behaviours among multiple perspectives. Therefore, the model provides an outline from fostering custodianship behaviours among interests represented within WHS management structures and those external of it. This research has also explored and highlighted the psychological underpinnings which can foster custodianship behaviours in the WHS environment. As such, rather than describing how people behave in specific environments and situations, this framework also emphasises the importance of the antecedents that facilitate and explicate the development of custodianship behaviours.



## **6.5 Management Practice**

The development of the theoretical model offers policy makers and managers a starting point from which to foster custodianship behaviours within their internal WHS management approaches and among wider site stakeholders; this, for example, could be developed through any or all of the seven suggestions for improving management practice given below.

Firstly, this research highlights that although WHS internal management structures function intermittently and on an ad-hoc basis, custodianship behaviours among managers from different interests can be fostered. This is positive and emphasises the importance of managers fashioning environments built upon the key situational/structural factors, for example open communication and team-working highlighted in Figure 21, which encourages the psychological underpinning nurturing custodianship behaviours. However, many management/working groups only meet on a three monthly (sometimes much longer) basis, while others were not functioning; a missed opportunity to nurture custodians. Therefore, a more frequent and stable form of managerial structure could help further develop the relationships that encourage custodianship behaviours. As such, commitment must be made by policy makers and managers to encourage more dedicated and stable forms of WHS management, where structures are not simply a paper exercise but are put into practice (UNESCO, 2013). Furthermore, given that collaborative project working allowed managers from differing organisations to build relationships based on trust and friendship resulting in heightened commitment and collective behaviours, managers should be encouraged to undertake such endeavours more often. Given the limited staff capacity and resources, intensifying such collaboration can only be positive, not simply to pool resources but to also encourage the fostering of custodianship behaviours which can only be beneficial for site management.

Secondly, the findings indicate the need for a better understanding of World Heritage – both in the internal and external environment. Initially, training programmes could be developed to harvest a greater understanding of World Heritage within managers and representatives within the internal management structures (Garrod et al., 2011). This could not only heighten the comprehension of the basic mission of World Heritage, but could also reinforce the need for collective management. In relation to wider stakeholders, engagement should go beyond informational means to embrace more

participatory approaches. For example, managers could implement training courses/opportunities for these stakeholders. The value of this is evident within the Edinburgh and Derwent cases where businesses and local volunteers have been educated on the benefits of World Heritage – leading to custodianship behaviours. Such engagement could also result in a ‘WHS Warden’ recognition for stakeholders. Through this, stakeholders could have a more active role in site management resulting in levels of appreciation and self-fulfilment through participation. This is important considering one of the missions of World Heritage is to “encourage participation of the local population in the preservation of their cultural and natural heritage” (UNESCO, 2015c), while the goodwill of local stakeholders and their patronage is essential for site sustainability.

Thirdly, representation can provide one of the foundations for fostering custodianship behaviours. However, scepticism festers when representation is constrained, erratic and misleading. Therefore, managers should increase stakeholder capabilities. While representation is afforded through consultative processes, this needs to be more inclusive. Simply limiting involvement to consultation is a lost opportunity, and management policies need to better integrate stakeholder involvement in the administration of protected places. This could be created through two ways. Firstly, wider stakeholder representation must be ingrained within WHS management structures (Historic England, 2015) – either through inclusion in working groups or through a partnership forum (as in the Derwent case). Managers also need to provide spaces for stakeholders to become involved, even if it means informal mechanisms. The Derwent case highlights a prime example through their informal cluster groups where views and ideas are projected – resulting in the successful Ambassador Scheme. Therefore, managers should consider the creation of such groups to support and enhance ownership of site management, while reinforcing the benefits of World Heritage status to the area.

Furthermore, the findings demonstrate that the trustworthy and long-term relationships are vital in developing the psychological antecedents which nurture custodianship behaviours. Given the myriad of site stakeholders which encompass many WHSs, managers should look to reinforce these relationships. With multiple stakeholders engaging on an infrequent basis the necessity for a gateway which offers continual communication would be beneficial. Echoing calls by Chiabai et al. (2011), this could be enhanced through an e-participation based tool on the site’s webpage. Used as an

online forum this could offer a place for stakeholders to ask questions and voice concerns and ideas regarding site issues, and could also be used to disseminate WHS information in a palatable way. Through the ability for open responses, this could create two-way relationships, enhancing people's capacity for listening and engaging in discussion. This could also increase manager accountability and transparency. This could facilitate a continual and sustained form of cooperation between managers, policy makers, decision-makers, and local people.

This research has found that support through funding, advice and training are contributing factors to custodianship behaviours amidst external stakeholders. Such factors enhance collaboration and relationships between managers and stakeholders, and heighten the communication of World Heritage. However, as the Antonine case signifies, limited support can act as a barrier to custodianship. Therefore, managers should seek to ensure support mechanisms are in place, especially those that are community driven. For example, support for community led projects (as seen in the Edinburgh case) has the ability for local stakeholders to assume responsibility for site management. In doing so they not only have a participatory and meaningful role, but the relationships between them and managers can be enhanced or reconciled. For instance, the Derwent case highlights how these relationships can result in time and resources being given by stakeholders. Such projects also have the potential to gather stakeholders from different perspectives, resulting in a more congruent environment. As implied in the Edinburgh case, World Heritage endeavours can also be used to combat wider issues such as social inclusion and literacy – such benefits need to be better projected. A possible solution could be the implementation of a monthly event organised for managers and stakeholders to showcase the WHS and its achievements and opportunities. This could also be used to reinforce existing relationships, ensuring that engagement is ongoing and not done in isolation.

Given economic conditions, the potential to develop these managerial implications could be challenging. Given limited local authority budgets, policy makers and managers should be increasingly encouraged to implement strategies to engage with all salient stakeholders in decision-making. UNESCO (2013) emphasises that stakeholders can not only be a source of vocal support, but are potential contributors of resources, volunteers and are central to the visitor experience. Therefore, increased effort should be placed on enhancing stakeholder inclusion and influence. As mentioned earlier, this

can be developed through enhancing community led projects and placing more emphasis on representation through informal groups. Furthermore, this research demonstrates the value of collaborative projects which are jointly financed - both within the internal and external environment. Therefore, emphasises should be placed on projecting and reinforcing collective approaches to stress the significance of the financial benefits of collaboration.

Lastly, UNESCO (2013, p. 79) stresses that, “states Parties must guarantee ... that resources are available and adequate to maintain the OUV of the inscribed property”. The findings reveal the value of a dedicated team or organisation which focuses solely on WHS management. The Antonine case stresses the challenges of a site which spans a large area, but relies on a sole WHS coordinator. Therefore, policy makers should ensure that WHS status is supported by sufficient personnel to ensure management is effective. Both the Edinburgh and Derwent cases highlight the management and the fostering of custodianship behaviours (both in the internal and external environment) is dependent on their hard work and their ability to develop, maintain and manage the myriad of site relationships. Given fears that reducing budgets may result in the disbandment of such teams, policy makers should be more committed to ensure that such entities are funded and supported in an appropriate fashion. As time was a significant problem for managers, the need for such a committed team seems beneficial, as without them the potential for custodianship behaviours to be fostered and maintained among site interests could be severely restricted.

## **6.6 Limitations and Further Research**

While this study makes a theoretical and contextual contribution, its limitations must be acknowledged. These limitations will be outlined in the following section. Succeeding this, areas of future research will be identified. The limitations of this study are as follows:

- Only three of the twenty-nine WHSs in the UK were used in this study. Initially, five sites were chosen, however during the data collection and analysis stages it became apparent that given the high levels of information, three would be more befitting of the study’s time restraints. Additionally, this study’s focus was on

sites which were characterised by multiple ownership networks, therefore not all UK WHSs were appropriate.

- This study only explored WHSs within the context of the UK. Currently, there are 1031 WHSs worldwide. Given the different legislative systems and cultural approaches to management, this study may have limited usefulness to countries outside the UK.
- The evidence collected was only taken from the perspective of managers/individuals who were represented within the internal management structures of their respected WHS. Therefore, views may be biased towards offering insights which provide favourable narrative due to: concern regarding their own role and who they represent in the WHS, and that controversial information may cause harm or distress to current relationships within the management approach. However, anonymity of respondent views has offered levels of confidentiality which eased such concerns.
- As evidence was only taken from individuals within the internal WHS management structures, this research was not informed by stakeholders' external of it. Therefore, views on the development of custodianship behaviours in the external environment were taken from the views of managers and their perceptions and experiences. As such, different findings may be exposed if these external stakeholders' views were taken into consideration. However, given the limitations on time and resources this research was constrained. For example, given that each site has hundreds of external stakeholders the researcher had to make a conscious decision on the boundaries of the project. Given that data overload became an issue in this study, the choice to concentrate on perspectives of those within the internal management environment seems justifiable.
- Lastly, while a case study methodology supported by semi-structured interviews and documentation was fruitful, other approaches could have been embraced. For example, using a questionnaire approach to collect evidence could have been employed. This would have opened up the possibility of collecting large amount of quantifiable information from perspectives across more than three sites. However, this would have been difficult. Given the ad-hoc nature of WHS approaches and the fragmented nature in which individuals are involved in WHS activities, dispensing a multiple site questionnaire would have been arduous.

With these limitations in mind, avenues of future research are identified. These include:

- As this research has developed a custodianship behaviour model, future studies may wish to test this quantitatively. As this model is based solely on qualitative approaches, quantitative analysis may add to this by providing justification and further elaboration on the antecedents explored in this study.
- Given that only three UK WHSs were investigated, future studies could use the custodianship behaviour model to explore other sites – either through a single or multiple case perspective. Due to the diverging nature of WHS management approaches and the people involved, such a study could develop further insight into nurturing custodianship behaviours. These studies may also unearth other important factors that this study has not uncovered and could be unique to a certain context.
- Future studies could explore the usefulness of the custodianship behaviour model outside the UK. While other countries have different customs and approaches to management, this may offer an opportunity to gain insight into the opportunities and challenges of WHS management in different destinations. Given that there are currently 1031 WHSs worldwide (and will continue to grow) the fostering of custodianship behaviours, regardless of country, will be beneficial for future CHM.
- Future research may wish to explore the custodianship behaviour model through the lens of external stakeholders. As this study is informed by managers within the internal management structures of the WHSs, collecting external stakeholders' views will help further develop and support the model. Such a study would also help gain further insight into the antecedents, especially the psychological elements, which encourage custodianship behaviours in individuals.
- A longitudinal study may also be beneficial. Given the changing nature of WHS management - for example, changes in personnel, management approach, funding, and controversial decisions - future research may also entail a continual analysis of a WHS's environment. In doing so, a better understanding of how custodianship behaviours are nurtured, maintained or lost over time within the settings of a WHS and its management would be gained.

## **6.7 Overall Conclusion**

This study aimed to develop a custodianship behaviour model for the management of WHSs. This was accomplished through a multiple case study research design which focused on three UK WHSs. The main discoveries can be summarised as follows.

The internal management approach to each of the WHSs highlights an environment based on involvement and participatory decision-making, collaboration and open communication. This is supported by a setting where long-term relationships and trust are favoured. These elements, which are activated through each WHS internal managerial structure and site documentation, provide the starting point from which custodianship behaviours ensue. This environment cultivates within individuals an other-regarding perspective, long-term orientation, and affective sense of association with others and the site. It is also emphasised that managers have developed intrinsic motivations from their presence and activities within their site's governance environment. Through these factors managers have developed heightened levels of commitment and identification to their WHS and the management group. The discussion also highlights how the personal relationship between individuals is seen as a significant factor in developing such commitment and identification. Resultantly, custodianship behaviours have been able to be developed among many of the representatives which come together to form the WHSs over-arching managerial approaches. This is displayed through more collectively driven actions, the openness to accepting decisions which don't fully benefit their cause, displaying pro-site decision-making, and heightened identification and commitment to the group and to the World Heritage management environment.

Outside the internal managerial environments of the WHS there are numerous stakeholder groups which can impact on site management. Therefore, generating custodianship behaviours among them is equally significant. Initially, in an attempt to capture wider stakeholder involvement and support, engagement strategies are employed by managers. This includes: representation, raising awareness and reputation management, education, and support. Through such strategies, managers comment on the influential impacts of such endeavours. This resembles a similar process highlighted in the internal environment. For example, the development of an other-regarding perspective, long-term orientation, and affective sense of association with others, leading to heightened levels of commitment and identification to the WHS and the

management group. This has led to perceived level of custodianship behaviours among site stakeholders. This includes: elevated levels of devotion from locals and businesses; projects being undertaken which can only be achieved through multiple ownership consent; individuals/groups donating resources, time and effort to site projects and events; and groups becoming more open to working together after long periods of tension.

Despite this, managers in the Antonine case highlight a limited awareness of custodianship behaviours amid wider stakeholders. The reasoning for this could reside in the constrained levels of engagement, project working and support. The Edinburgh and Derwent cases demonstrate that building and nurturing relationships with stakeholders, through working with them at events and projects, levels of representation, and community led developments, has been essential in instigating the process in which custodianship behaviours can be realised. However, due to lack of resources, time and there only being a single WHS coordinator, the ability to undertake such endeavours has been constrained.

The discussion also highlights the importance of there being a dedicated WHS team or coordinator as a facilitator in developing the environments required to nurture the relationships, trust and confidence between differing interests, and engagement with wider stakeholders. Therefore, they perform a pivotal role in developing custodianship behaviours throughout the WHSs. However, the Antonine case demonstrates the limitations of what can be achieved when there is not the staff capacity in place to support the site. With there only being a single WHS coordinator for the site, the ability to fully develop the environments needed to nurture custodianship behaviours is restricted, especially among those outside the internal management structure.

There are numerous obstacles which hinder fostering of custodianship behaviours or lead to their demise. The first resides in the different agendas involved, with some groups being constrained by their own welfare. Such constraints can lead to a lack of involvement and commitment resulting in trust and relationships being lost. Controversial or tenuous decision-making also causes problems when behaviours are perceived to be self-interested and lacks apprehension of others' concerns. Such occurrences result in mistrust and the mobilisation of defensive actions which can impede the development of custodianship behaviours. The discussion also highlighted



the importance of two emerging themes which are not given the credence merited within the literature. This included the issues of time and resources – both of which influence greatly the ability to develop custodianship behaviours throughout the WHS cases.

Finally, through the evidence collected and analysed, and combining elements of stewardship and stakeholder theories, the conclusion chapter presented a custodianship behaviour model. This chapter also reviewed the objectives of this research and highlighted the study's theoretical and contextual contribution. To end, the managerial implications of this research were recognised, as well as acknowledgment of the limitations and possible avenues of future research.

## 7 Appendices

### Appendix 1: The Interview Guide

Issue	Themes to cover
Management approach	<p>Can you tell me about the management approach in place for the WHS (and you role)?</p> <ul style="list-style-type: none"> <li>➤ Effectiveness of leading/steering group, working groups/panels?</li> <li>➤ Benefits of this approach?</li> <li>➤ Challenges?</li> </ul> <p>With differing roles and remits how difficult is it to get organisations to look beyond their own self-interest?</p> <p>How do you encourage World Heritage to be a strategic priority among groups?</p>
Management plan	<p>How effective if the management plan in bringing together those with differing agendas?</p> <ul style="list-style-type: none"> <li>➤ Consolation process advantages: people feel involved; sense of ownership; common vision; creates trust</li> <li>➤ How difficult is it to implement strategic documents that require so much commitment from groups who have priorities beyond that of heritage?</li> </ul>
Situational & structural environment	<p>How essential is partnership working?</p> <ul style="list-style-type: none"> <li>➤ How is this encouraged?</li> <li>➤ Encourages commitment and collectively?</li> </ul> <p>Is trust valuable within the network?</p> <ul style="list-style-type: none"> <li>➤ How is it encouraged?</li> <li>➤ Is it difficult to maintain?</li> </ul> <p>How essential is the creation of long-term relationships?</p> <ul style="list-style-type: none"> <li>➤ How is this encouraged?</li> </ul> <p>How open is the communication between differing managers/interests?</p> <ul style="list-style-type: none"> <li>➤ Does the management structure encourage/facilitate this?</li> </ul>
Influence of management approach	<p>How influential has the management approach to the site been in stimulating collectively?</p> <ul style="list-style-type: none"> <li>➤ Evidence of people/groups considering other interests in decision-making?</li> <li>➤ Have people/groups been thinking more long-term?</li> <li>➤ Heightened dedication and identification?</li> </ul>

	➤ Pleasurable/rewarding experience?
The Larger Stakeholder Network	<p>What are the main challenges of managing/coordinating a site which is characterised by multiple ownership patterns?</p> <ul style="list-style-type: none"> <li>➤ How important is it that people believe in collective management and take responsibility for the site? How is this encouraged?</li> <li>➤ Are there any governance structures in place that involve stakeholder participation?</li> <li>➤ How open is the communication process?</li> </ul>
Engagement	<p>What forms of engagement are in place to encourage stakeholders outside the management structure to become more involved?</p> <ul style="list-style-type: none"> <li>➤ Representation, raising awareness, education?</li> <li>➤ The extent of this engagement?</li> <li>➤ Perceived Benefits?</li> <li>➤ Barriers to involvement</li> <li>➤ Are informational relationships just as important as formal ones?</li> </ul>
Influence of engagement	<p>How influential do you think the engagement strategies been in stimulating collectively, support, etc?</p> <ul style="list-style-type: none"> <li>➤ Created long-term relationships?</li> <li>➤ Evidence of people/groups considering other interests?</li> <li>➤ Have people/groups been thinking more long-term?</li> <li>➤ Heightened commitment and identification?</li> <li>➤ Created friendships?</li> </ul> <p>How is any favourable behaviours sustained given that engagement does not constitute continual interaction with some stakeholders?</p> <p>Through engaging with differing groups and the success of working together on projects, do you think this contributes to people self-monitoring the site?</p>
Benefits of World Heritage	<p>How important is it that differing groups perceive the potential benefits of World Heritage? (economy/social issues/tourism)</p> <ul style="list-style-type: none"> <li>➤ Communities outside the boundaries</li> <li>➤ Promotes collective responsibility</li> <li>➤ With differing opportunities arising from World Heritage how important is it that people feel empowered?</li> </ul>

## Appendix 2: The Template of Themes

The following tables highlight the template used to explore the evidence gathered to inform this study.

### The internal environment

Higher order code	<ul style="list-style-type: none"><li>• Managerial Environment – Situational/Structural</li></ul>	<ul style="list-style-type: none"><li>• The influence of the of the managerial environment</li></ul>
Lower order codes	<ul style="list-style-type: none"><li>○ Teamwork/collaboration</li><li>○ Open communication</li><li>○ Trust</li><li>○ Long-term relationships</li><li>○ Empowerment</li><li>○ Personal Development</li></ul>	<ul style="list-style-type: none"><li>○ Other-regrading perspective</li><li>○ Long-term orientation</li><li>○ Affective association</li><li>○ Commitment</li><li>○ Identification</li></ul>

### The External environment

Higher order code	<ul style="list-style-type: none"><li>• Stakeholder engagement</li></ul>	<ul style="list-style-type: none"><li>• The influence of the of the managerial environment</li></ul>
Lower order codes	<ul style="list-style-type: none"><li>○ Representation</li><li>○ Raising Awareness</li><li>○ Reputation Management</li><li>○ Education</li><li>○ Support</li></ul>	<ul style="list-style-type: none"><li>○ Other-regrading perspective</li><li>○ Long-term orientation</li><li>○ Affective association</li><li>○ Commitment</li><li>○ Identification</li></ul>

### Challenges

Higher order code	<ul style="list-style-type: none"><li>• Challenges to cooperation</li></ul>
Lower order codes	<ul style="list-style-type: none"><li>○ Conflicting interests and agendas</li><li>○ World Heritage understanding</li><li>○ Challenging decisions</li></ul>

### Appendix 3: The antecedents of custodianship – the internal environment

The following table of quotes highlights examples of the antecedents of custodianship behaviours within the WHSs internal managerial structure

Theme	Site	Illustrations
Intrinsic Motivation	Edinburgh	“World Heritage issues are only a small part of what we do, but, over time, I think the outcome of this small part is great, I enjoy being a part of it ... it’s something fulfilling”.
	Derwent	“it’s enjoyable and that’s why I put so much unpaid time and effort into it ... it’s personally rewarding, you’re making a difference for future generations”.
	Antonine	“This is the most pleasurable part of my work, if I had more time to commit to it I would, I already do so much extra work [unpaid] ... because it’s something I enjoy and it’s fulfilling”.
Other-regarding perspective	Edinburgh	“One thing that has got a lot better is that we are now more aware of where a given body is coming from in another organisation”.
	Derwent	“people can openly express their concerns and we now have a better idea where certain people are coming from ... this has meant we are able to work better as a collective. People consider other interests a lot more”.
	Antonine	“it’s like any partnership if it’s given time and effort ... we understand each other, where we’re coming from, what our limitations are, what we’re trying to achieve and I think we’ve learned to recognise”.
Long-term-orientation	Edinburgh	“What everyone wants is the place to be better, but everyone wants it to be better in a slightly different way ... And that means making and accepting decisions as a group even if it doesn’t exactly fit your own aims. It really is what’s best for the site and that’s a good thing”.
	Derwent	“there is an understanding, an agreement, perhaps unspoken but which is in existence ... that we are working mutually towards the bigger picture and betterment of the WHS”.
	Antonine	“some people could not see beyond the end of their nose and it was a real problem ... they need to look beyond this ... working together has made some of these people see that and I think finally people are coming round to the idea. It’s about the long-term not some short-term”.
Affective association	Edinburgh	“we have worked together on so many projects, and we have built up really strong relationships with the people from different organisations. We know them both of a professional and personal level”.
	Derwent	“A lot of us have become companions, we support each other ... I think that’s something which the partnership working has helped with”.
	Antonine	“I’ve met some wonderful people who I have become genuine friends with and that’s helped ... it makes me more inclined to be open and willing to work on certain things”.

Identification	Edinburgh	“we’re paid ... but we’re all involved because we really do believe in what this whole movement is about. When you see all the good work that’s gone in to Edinburgh it’s something you really start to believe in”.
	Derwent	“mostly everyone has bought into this idea of World Heritage, I think they all understand that we are all trying to protect and that needs an investment in time and commitment which people have embraced”.
	Antonine	“World Heritage is only a small part of my job ... I think once you’re involved and you come to learn about it you realise how important it is ... it’s one of the rewarding aspects of my work”.
Commitment	Edinburgh	“The council has really changed its attitude over the past few years. Now they are coming to us and saying ‘let’s do something about this’, ‘let’s do something about that’”.
	Derwent	“people are certainly more committed ... it was a little bit slow to start but you just need to look at some of the partnership projects and funding’s achievements”.
	Antonine	“... it’s really a testament to people being committed to the task and what we were doing as a group. Some of us had to give way in certain areas. But it was for the best for the site and in the end we realised that”.

#### Appendix 4: Custodianship behaviours – the internal environment

The following table of quotes highlights examples of such custodianship behaviours among managers within the WHSs internal managerial structure.

Custodianship Behaviours	
Edinburgh	<ul style="list-style-type: none"> <li>• “So different interests accept that not all decisions can go their way and it’s taken, you know, with World Heritage Trust and ourselves it took about 10 years to really get this home”.</li> </ul>
	<ul style="list-style-type: none"> <li>• “yes we have had disagreements, but we communicate with each other and work out the differences. It’s one thing that we have learned through years of working together”.</li> </ul>
	<ul style="list-style-type: none"> <li>• “What everyone wants is the place to be better, but everyone wants it to be better in a slightly different way ... And that means making and accepting decisions as a group even if it doesn’t exactly fit your own aims. It really is what’s best for the site and that’s a good thing”.</li> </ul>
Derwent	<ul style="list-style-type: none"> <li>• “people can openly express their concerns and we now have a better idea where certain people are coming from ... this has meant we are able to work better as a collective. People consider other interests a lot more”.</li> </ul>
	<ul style="list-style-type: none"> <li>• “Are things going to go my way all the time? Probably not. Am I going to back out because of that? No ... We’ve invested so much time in our site and to each other”.</li> </ul>
	<ul style="list-style-type: none"> <li>• “We certainly have a more coordinated approach. Maybe in the past I would have said ‘to hell with them’, now I’m more open to other people’s views”.</li> </ul>

Antonine	<ul style="list-style-type: none"> <li>• “Decisions may not always go our way but we don’t go away in a strop, really what we are doing is more important than that”.</li> </ul>
	<ul style="list-style-type: none"> <li>• “there’s a very big difference between how Scottish National Heritage and Historic Scotland view things ... and that’s something we haven’t fully resolved ... but we work towards an understanding when we’re doing things, you need to consider other interests apart from your own”.</li> </ul>
	<ul style="list-style-type: none"> <li>• “So it’s not just one local authority putting in 20K ... it’s the five local authorities putting in money and there is an agreement that, for example, this financial year, one council puts in say 20K and the other can only afford five but the following year they can put in 15K”.</li> </ul>

### Appendix 5: The influence of engagement

The following table of quotes highlights the influence of engagement strategies on external stakeholders outside internal managerial structure of their WHS

Theme	Site	Illustrations
Other-regarding perspective	Edinburgh	<ul style="list-style-type: none"> <li>• “we had to get consensus among these groups in order to get some pro-action. It’s difficult; we can’t make them do what we want. How do we do it? Communication, we talk to them. And most of the time they come around. They see how it benefits everyone and makes people look beyond self-interest”.</li> </ul>
	Derwent	<ul style="list-style-type: none"> <li>• “I think they [local residents and organisations] do understand a little bit more and they’ve taken more interest. The people in the north have taken notice of what’s happening in the south and going to things and likewise in the middle”.</li> </ul>
	Antonine	<ul style="list-style-type: none"> <li>• Not commented on</li> </ul>
Long-term-orientation	Edinburgh	<ul style="list-style-type: none"> <li>• “more and more businesses are using the World Heritage status, quoting it on their websites, producing trails for visitors and this sort of a thing, it shows it’s part of their long-term thinking”.</li> </ul>
	Derwent	<ul style="list-style-type: none"> <li>• “It’s getting people involved and interested. Nothing works unless there is real enthusiasm there and a real keenness to make a difference. And there are people out there and we do have people that have made a difference by being part of that setup, people are now thinking more long-term and more for the good of the whole site rather than their own small part”.</li> </ul>
	Antonine	<ul style="list-style-type: none"> <li>• Not commented on</li> </ul>
Affective association	Edinburgh	<ul style="list-style-type: none"> <li>• “The friendships we have made through such projects has been the key, it brings people together; people want to work with each other, it’s a friendly and trustworthy environment”.</li> </ul>

	Derwent	<ul style="list-style-type: none"> <li>• “It’s also getting people together in groups, making friends, seeing each other at different events ... You can see individuals come along, by the time you reach the end, they’ve all been talking to each other and that brings them together ... it inspires people to get involved”.</li> </ul>
	Antonine	<ul style="list-style-type: none"> <li>• Not commented on</li> </ul>
Identification	Edinburgh	<ul style="list-style-type: none"> <li>• “Through many of these projects people become engaged with their historic environment and they come to appreciate it a lot more. You know, being involved in a specific project which has an outcome ... people can see the difference they have made. It makes them more connected to heritage, they see it as their own, they begin to believe in what we are doing, and act more conservational in the long-term”.</li> <li>• “Creating that network is essential and it means people interact with you and support the whole idea of World Heritage by the end of it”.</li> </ul>
	Derwent	<ul style="list-style-type: none"> <li>• “they’ve done that three or four times now which is lovely and that’s really just them wanting to be part of this bigger WHS which I think is incredible ... they are becoming part of this big WHS and they feel they are part of that wider family”.</li> </ul>
	Antonine	<ul style="list-style-type: none"> <li>• Not commented on</li> </ul>
Commitment	Edinburgh	<ul style="list-style-type: none"> <li>• “[through projects and awareness strategies] we have seen a big difference through it, a lot of people committed and becoming more involved ... Our networks are expanding all of the time”.</li> </ul>
	Derwent	<ul style="list-style-type: none"> <li>• “we’ve built relationships and trust with them. Even after projects are done we have people ringing us up and wanting to help on other things”.</li> </ul>
	Antonine	<ul style="list-style-type: none"> <li>• “I think certain groups have a good understanding, certainly. We have groups in the Kelvin Valley, they’ve secured funding through Heritage Lottery and they deliver projects and they’re very switched on and so involved in everything”.</li> </ul>



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